



**State of New Hampshire
Department of Health and Human Services**

**REQUEST FOR PROPOSALS
RFP-2020-DMS-10-TRANS**

FOR

**Non-Emergency Transportation Program for
Fee-for-Service (FFS) Medicaid Beneficiaries**

March 10, 2020



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**New Hampshire Department of Health and Human Services
Non-Emergency Transportation Program for
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INTRODUCTION

1.1. Purpose and Overview

This Request for Proposals (RFP) is published to solicit proposals for the provision of statewide transportation services and management of the daily functions of New Hampshire Medicaid's Non-Emergency Medical Transportation (NEMT) program. Services must cover Medicaid beneficiaries who are eligible for the Medicaid Fee-For-Service (FFS) Program.

The New Hampshire Department of Health and Human Services (Department) anticipates awarding one (1) contract for the services in this RFP, which include:

- Providing FFS participants with access to transportation in order to attend Medicaid-covered non-emergency services. (Please see Attachment A for a list of covered services.)
- Providing various modes of transportation, statewide, for beneficiaries, including those beneficiaries who need special assistance and/or those who use durable medical equipment.
- Maintaining a call center that must have access to interpreter services and TTY telecommunication access.
- Processing requests for mileage reimbursement for transporting an eligible beneficiary to a covered service.

1.2. Request for Proposal Terminology

Advanced Life Support, Level 1 (ALS1) Nonemergency - Transportation by ground ambulance vehicle and the provision of medically necessary supplies and services and the provision for either an ALS assessment by ALS personnel or at least one ALS intervention.

Basic Life Support (BLS) Nonemergency - Transportation by ground ambulance vehicle and the provision of medically necessary supplies and services, including BLS ambulance services as defined by the State. The ambulance must be staffed by an individual who is qualified in accordance with State and local laws as an emergency medical technician basic (EMT-Basic).

Beneficiary – A New Hampshire citizen receiving Medicaid under the Fee-for-Service program.

Durable Medical Equipment - Equipment that provides therapeutic benefits to a patient as a result of certain medical conditions and/or illnesses (e.g. wheelchairs, canes, crutches, walkers, nebulizers).

Fee-for-Service (FFS) - Part of the Medicaid Program and consisting of individuals who are exempt from enrollment in a managed care organization. Those who are exempt from enrollment in a managed care organization include certain veterans, the



Spenddown group, those found eligible under Presumptive Eligibility, and those enrolled in the Health Insurance Premium Payment Program (HIPP).

Health Insurance Premium Payment (HIPP) Program - A program developed to help individuals and families afford their employer insurance when at least one person in the family is enrolled in Medicaid. The employer's insurance is primary and Medicaid is secondary.

Medically Necessary Mode of Transportation - The least expensive type of transportation that meets the physical and medical circumstances of Medicaid beneficiary.

Mileage Reimbursement – Compensation for mileage, on a per-mile basis, for transporting an eligible beneficiary to a covered service.

No-Show –

a) **Beneficiary No-Show** – When a beneficiary fails to appear for a confirmed trip.

b) **Driver No-Show** - When a driver fails to pick up a beneficiary for a confirmed trip.

Non-Emergency Medical Transportation (NEMT) – Approved transportation services for Medicaid beneficiaries to go to or return from receiving medically necessary and non-emergency medical services covered by the Medicaid FFS program.

Presumptive Eligibility - A process that allows qualified hospitals and qualified entities to determine if an individual can receive short-term Medicaid. It provides individuals with Medicaid coverage while The Department processes their application for regular Medicaid.

Out-of-State Trip - A trip originating and/or ending outside New Hampshire that involves the transport of a patient to or from a medical provider that is neither located in New Hampshire nor an approved border community. A prior authorization is required for all out-of-state trips.

Spenddown - Commonly referred to as In-and-Out Medical Assistance, helps individuals whose income is too high to qualify for Medicaid but who have significant medical expenses. These individuals are given a spenddown, similar to an insurance deductible, which when met with qualifying medical expenses, the individual is eligible for Medicaid for a certain period, usually until the end of that month. Some on spenddown qualify for a six-month eligibility span.

Stretcher Van - A regulated mode of NEMT which may be provided to an individual who cannot be transported in a livery vehicle, taxi, or wheelchair van due to being non-ambulatory and must be transported lying flat. Stretcher van personnel are not required or authorized to provide medical monitoring, medical aid, medical care, or medical treatment of passengers during their transport. Individual passengers may self-administer oxygen.



Transportation Provider – An entity contracted with the selected vendor to provide transportation to beneficiaries.

Trip - The approved and scheduled transportation of a beneficiary in a permitted vehicle from an authorized pickup location to an authorized drop off location.

Unfulfilled Trips – Trips for which the selected vendor is unable to secure appropriate transportation for the time requested.

Urgent Trip - An unplanned trip provided the same day, or within 24 hours in advance of appointment, as a result of a beneficiary's need for medical care due to illnesses or injuries which require prompt attention but do not require transportation via emergency medical service (EMS).

1.3. Contract Period

The Contract resulting from this RFP is anticipated be effective July 1, 2020, or upon Governor & Executive Council approval, whichever is later through June 30, 2022.

The Department may extend contracted services for up to two (2) additional years, contingent upon satisfactory Contractor performance, continued funding, and Governor and Executive Council approval.

2. BACKGROUND

2.1. New Hampshire Department of Health and Human Services, Division of Medicaid Services

The Department is required to provide transportation for Medicaid beneficiaries enrolled in FFS as per 42 CFR 4410.170(a)(4).

2.2. Background

NH Medicaid is a federally and state funded health care program that serves a wide range of needy individuals and families who meet certain eligibility requirements. The program works to ensure that eligible adults and children have access to needed health care services by enrolling and paying providers to deliver covered services to eligible beneficiaries.

State Medicaid programs are required to provide necessary and appropriate transportation, including non-emergency ambulance and wheelchair van services, for beneficiaries to travel to and from their home or nursing facility to Medicaid-covered services. New Hampshire has to ensure that all Medicaid beneficiaries in the State's FFS delivery system, who have no other means of transportation, continue to have access to non-emergency transportation to all Medicaid-covered services and/or receive assistance with paying for travel costs to appointments.



3. STATEMENT OF WORK

3.1. Covered Populations

- 3.1.1. Approximately 2,000 Medicaid beneficiaries are enrolled in the FFS program for at least one day in any given month. The eligibility categories are:
 - 3.1.1.1. Individuals with a spenddown, referred to as In-and-Out Medical Assistance.
 - 3.1.1.2. Individuals enrolled in the Health Insurance Premium Payment Program (HIPP).
 - 3.1.1.3. Individuals who are eligible through presumptive eligibility (PE).
 - 3.1.1.4. Military veterans receiving certain Veterans Administration benefits, which include:
 - 3.1.1.4.1. VA Pension Benefits.
 - 3.1.1.4.2. VA Nursing Facility Pension.
 - 3.1.1.4.3. VA Disability.
 - 3.1.1.4.4. VA Aid and Attendance.
 - 3.1.1.4.5. VA Frozen Pension.

3.2. Scope of Services – Process and Fulfill Trip Requests

- 3.2.1. The selected vendor must perform and document a pre-trip verification review by verifying the medical appointment for a covered service with the service provider on 100% of scheduled trips prior to transportation services being provided.
- 3.2.2. The selected vendor must ensure Medicaid FFS beneficiaries eligible for standard Medicaid or the Medicaid Alternative Benefit Plan (ABP) have access to transportation in order to attend non-emergent, Medicaid covered medical and dental appointments, as well as to pick up prescriptions.

The selected vendor will ensure that each beneficiary's eligibility is verified and will determine the correct mode of transportation based on medical necessity and the most cost-effective means of transportation. Transportation services must be available to those found eligible under presumptive eligibility, as confirmed through a Presumptive Eligibility form.
- 3.2.3. The selected vendor must ensure various modes of transportation, including adult medical day, are available for all beneficiaries, including those beneficiaries who need special assistance and those beneficiaries who use durable medical equipment.



- 3.2.4. The selected vendor must ensure transportation services are available to and from non-emergent, medically necessary Medicaid covered appointments, statewide and, at times, to adjacent states. The selected vendor must utilize a priority of utilization of transportation, which must be in the following order:
- 3.2.4.1. Beneficiary's own vehicle.
 - 3.2.4.2. Friends/family transit.
 - 3.2.4.3. Bus or other public transportation.
 - 3.2.4.4. Taxi /van transit.
 - 3.2.4.5. Other modes, based on medical necessity.
- 3.2.5. The selected vendor must provide various modes of transportation that ensure safe and timely arrival to non-emergency medical services. The selected vendor must provide, at a minimum, the following modes of transportation:
- 3.2.5.1. Public transit (bus).
 - 3.2.5.2. Taxi.
 - 3.2.5.3. Multi-passenger van.
 - 3.2.5.4. Wheelchair van.
 - 3.2.5.5. Non-emergency ambulance Advanced Life Support, Level 1 (ALS1) or Basic Life Support (BLS).
 - 3.2.5.6. Stretcher van.
 - 3.2.5.7. Mileage reimbursement.
- Q1** *How will you ensure a sufficient number of vehicles and types of vehicles are available in-network, statewide? Include how you will accommodate and manage transportation during surge/peak times.*
- Q2** *How will you determine and provide the lowest cost, most appropriate mode, of transportation available consistent with each beneficiary's mobility needs, personal capabilities, and medical conditions?*
- 3.2.6. The selected vendor must have the ability to provide transportation services that safely transport FFS individuals who may have vulnerable medical and/or psychological conditions.
- 3.2.7. The selected vendor must ensure availability of covered transportation services to meet urgent and non-urgent transportation needs seven (7) days per week. The selected vendor must waive the its advanced notice requirements and ensure transportation and mileage reimbursement for



travel to methadone clinic services; hospital discharges; and urgent, medically necessary appointments

3.2.8. The selected vendor must have the capability to accommodate special needs, including but not limited to:

3.2.8.1. Transporting durable medical equipment, as needed.

3.2.8.2. Assisting beneficiaries with limited mobility to and from the vehicle, as needed.

Q3 *How will you ensure drivers are able to handle difficult situations that may include transporting clients with special needs, including individuals who may have complex behavioral health and/or medical issues that may include clinical conditions that do not allow for multi-loading or shared rides?*

3.2.9. The selected vendor is required to review, approve, and pay mileage reimbursement to beneficiaries who need assistance with paying for gasoline to get to Medicaid-covered services.

Q4 *Provide your proposed plan that includes how non-emergent transportation will be scheduled, monitored, and managed? Include your eligibility determination policy; appointment verification and transportation scheduling policy; the length of advance notice required to schedule transportation; process for scheduling and prioritizing trips, and handling of urgent trips; accommodations that will be made for member-specific transportation needs; and how gaps in network coverage will be addressed to ensure adequate coverage to rural counties.*

Q5 *How will you manage the mileage reimbursement program? Include a description of your process from member request through submission of reimbursement.*

Q6 *Provide your proposed plan for oversight of fraud, waste, and abuse.*

3.3. Scope of Services – Operation of Call Center

3.3.1. The selected vendor must have a call center that schedules transportation for Medicaid beneficiaries and answers questions from beneficiaries and providers. The call center must have multi-lingual capabilities and operate a telephone device for the deaf and hard of hearing (TTY) during hours of operation.

3.3.2. The call center must be accessible through a statewide toll-free Department-dedicated telephone number. The call center must be staffed with personnel knowledgeable about Medicaid FFS with the ability to communicate with individuals who may be experiencing communication barriers.

3.3.3. The selected vendor must ensure that, after regular business hours, the call center telephone line is answered by an automated system



With the capability to provide callers with information that includes, but is not limited to:

- 3.3.3.1. Operating hours and instructions on how to obtain emergency medical care.
- 3.3.3.2. How to call 911 in the event of an emergency.
- 3.3.3.3. How to leave a message regarding an urgent request for transportation.
- 3.3.3.4. How to leave a message regarding a non-urgent request for transportation.
- 3.3.4. The selected vendor must ensure that after-hours calls are reviewed within one (1) hour of the beneficiary's call. If the request is urgent, then the call must be returned within the hour and transportation must be scheduled within two (2) hours of the beneficiary's call. Non-urgent requests must be returned during the next business day.
- 3.3.5. At a minimum, excluding weather emergency declarations by the State of New Hampshire, the call center must be operational:
 - 3.3.5.1. Monday thru Friday: 8:00 am EST to 6:00 pm EST; and
 - 3.3.5.2. During major program transitions or peak events, as determined by the Department, additional hours and capacity must be accommodated by the selected vendor subject to mutual agreement.
- 3.3.6. The selected vendor must have the means of coordinating its call center with the Department's Customer Service Center.
- 3.3.7. The selected vendor must develop a warm transfer protocol for beneficiaries who may call the incorrect call center to be transferred to speak to the correct representative.
- 3.3.8. The selected vendor must have a comprehensive plan to handle call volume that exceeds staff capacity. The plan must include the capacity to roll calls over by shifting resources to accommodate within one hour of the increase in call volume.
- 3.3.9. The selected vendor must ensure that call center staff verify each caller's identity using a minimum of two points of verification against the eligibility files provided by the Department.
- 3.3.10. The selected vendor will develop a new hire training program for Call Center Representatives (CSRs) which, at a minimum, includes NH Medicaid's covered services, the NEMT program requirements, privacy/HIPAA education, and the geography of the state.



- 3.3.11. The selected vendor must develop telephone scripts, reviewed and approved by the Department, which will be used by the CSRs.
- 3.3.12. The selected vendor must ensure the telephone system used to provide services meets or exceeds the following requirements:
 - 3.3.12.1. Capability of transferring calls to the Department's Voice Over Internet Protocol (VOIP) system.
 - 3.3.12.2. Capability of accepting inbound and placing outbound calls.
 - 3.3.12.3. Ability to transfer calls received that have unique circumstances or situations that will need to be transferred to the Department.
 - 3.3.12.4. Ability to route calls to specific queues, such as an automatic call distribution system.
 - 3.3.12.5. Ability to track call statistics necessary to provide required reports identified in Subsection 3.9, below.
- 3.3.13. The selected vendor must permit the Department to monitor live calls while on-site at the call center. The selected vendor must make digital files of calls received available to the Department on the same day that calls are received, as requested by the Department.
- 3.3.14. There must be a separate, toll-free phone number for use by the selected vendor's Transportation Providers.

Q7 *Provide your proposed plan for providing call center services. Include your staffing plan; how trunk line and telephone line capacity will ensure incoming calls are answered by a customer service representative within ninety (90) seconds.*

Q8 *How will you provide interpreter services for beneficiaries who do not speak English or have Limited English Proficiency (LEP) to ensure barrier free communications?*

Q9 *What is your procedure when a beneficiary does not appear for a scheduled trip? Include sample or past communication to beneficiaries, including follow-up services.*

3.4.Scope of Services - Grievance & Appeals Process and Beneficiary Satisfaction Surveys

- 3.4.1. The selected vendor must conduct beneficiary satisfaction surveys to measure customer satisfaction.
- 3.4.2. The selected vendor must establish a grievance and appeal process to address beneficiary complaints and concerns.



- 3.4.3. The selected vendor must ensure the grievance process includes swift action when the selected vendor or the Transportation Provider receives complaints regarding a particular driver that indicates an immediate risk to beneficiaries. Swift action must include, but is not limited to:
 - 3.4.3.1. Notifying the Department upon making the determination of immediate risk.
 - 3.4.3.2. Directing the Transportation Provider to suspend the driver's ability to transport any beneficiaries pending further review.
 - 3.4.3.3. Investigating the matter in order to determine the level of risk, if any, posed by the driver.
 - 3.4.3.4. Determining any further steps to be taken, if any, which may include, but are not limited to:
 - 3.4.3.4.1. Further driver training.
 - 3.4.3.4.2. Continued suspension.
 - 3.4.3.4.3. Termination of the driver's employment with the selected vendor or Transportation Provider.
 - 3.4.3.4.4. Referral to the proper law enforcement and/or licensing authorities.

Q10 *How will you conduct beneficiary surveys to ensure an accurate measure of beneficiary satisfaction? Include your methodology and sample questions.*

Q11 *What is your process when a beneficiary files a complaint? Include how a complaint is defined, what information is gathered, tracking, reporting, how complaints are investigated and resolved timely as well as the remediation and prevention processes for beneficiary complaints.*

3.5. Incident Reporting

- 3.5.1. Initial notification of adverse events or incidents, and any follow-up action taken must be documented and provided to the Department using the approved process for incident reporting.
- 3.5.2. The selected vendor must notify the Department within twelve (12) hours of the selected vendor being notified, or becoming aware, of events involving a beneficiary who is the alleged victim or perpetrator of any of the following events:



- 3.5.2.1. A suspected or alleged criminal offense;
- 3.5.2.2. Any injury to a beneficiary or to a contracted or subcontracted staff member that requires any level of medical intervention;
- 3.5.3. The selected vendor and its Transportation Providers must report, to the Department, all accidents, injuries, and incidents that have occurred in conjunction with a scheduled trip when a beneficiary is present in a vehicle. Accidents, injuries, and incidents shall be reported to the Department as follows:
 - 3.5.3.1. An Accident/Incident with resulting injury requires notification within twelve (12) hours of the event.
 - 3.5.3.2. An Accident/Incident without injury resulting requires notification within twenty-four (24) hours of the event.
 - 3.5.3.3. The selected vendor must notify the Department within one (1) working day of any incident that was referred to the Medicaid Fraud Control Unit by the selected vendor or their Transportation Providers.
- 3.5.4. The selected vendor must report alleged incidence of beneficiary abuse and neglect pursuant to all state and federal laws.
 - 3.5.4.1. The Department may require the selected vendor to provide a corrective action plan that identifies mitigating steps for the prevention of future incidents.
- 3.5.5. The selected vendor must require all Transportation Providers to report fraud, waste, or abuse (FWA) to the selected vendor, who is responsible for reporting FWA to the Department and any appropriate authorities.
- 3.5.6. In addition to incidents described in Section 3.5.5, the selected vendor must report incidents not outlined in Section 3.5.5 as required by state and federal laws.
- 3.5.7. The selected vendor must take appropriate action against Transportation Providers and/or drivers in response to driver misconduct that constitutes an alleged criminal offense or a deviation of policy that is likely to have put a beneficiary at risk.



3.6.Scope of Services – Driver Selection and Maintenance of Records Requirements

3.6.1. The selected vendor must ensure all Transportation Providers are compliant with the following requirements, which will be included as minimum requirements in all Transportation Providers' subcontracts. Requirements include, but are not limited to:

3.6.1.1. Confidentiality. Transportation Providers must treat every aspect of covered services as confidential, including the fact of Department eligibility and/or enrollment and any or all information pertaining to a beneficiary's physical or mental health status or condition. Each Transportation Provider must execute a valid HIPAA subcontractor agreement with the selected vendor pursuant to the terms of the selected vendor's Business Associate Agreement with the Department prior to the commencement of covered services.

3.6.1.2. Hold Harmless. Transportation Providers must accept the amounts paid by the selected vendor for covered services furnished to beneficiaries as payment in full and in no event, including but not limited to nonpayment by the selected vendor, or the selected vendor's insolvency, or breach of the selected vendor's agreement with the Transportation Provider, shall the Transportation Provider bill, charge, collect a deposit from, seek compensation, remuneration or reimbursement from or have any recourse against a beneficiary, the Department, the selected vendor (if the selected vendor has made payments in accordance with this Agreement) or parties other than selected vendor for covered services provided to beneficiaries in accordance with this Agreement.

3.6.1.3. Legal Compliance.

3.6.1.3.1. Compliance, Licensure and Certifications. Transportation Providers and, as applicable, any drivers employed or contracted by Transportation Providers, must comply with all applicable local, state, and federal laws and regulations, and shall hold in good standing any and all licenses and certifications required



under such laws and regulations for the provision of covered services.

3.6.1.3.2. Safety and Comfort Standards. Transportation Providers must comply with all applicable local, state, and federal transportation safety standards, Department policies and procedures and applicable industry and accreditation standards relating to passenger safety and comfort, including but not limited to:

3.6.1.3.2.1. Requirements relating to the maintenance of vehicles and equipment.

3.6.1.3.2.2. Passenger and wheelchair accessibility.

3.6.1.3.2.3. Availability and functioning of seat belts.

3.6.1.4. Insurance. Section 3.6.1.4. through 3.6.1.4.4. apply to commercial Transportation Providers. Throughout the term of the subcontract with the selected vendor, and for so long as Transportation Provider is providing covered services in accordance with this Agreement, Transportation Provider must obtain and maintain insurance, including but not limited to automobile liability insurance and general commercial liability insurance, as is necessary to provide coverage for losses and liabilities arising out of the acts and/or omissions of Transportation Providers (or their respective employees and/or agents) in the performance of, or injuries sustained during the provision of, covered services to beneficiaries as contemplated in the Agreement resulting from this RFP.

3.6.1.4.1. For commercial Transportation Providers such insurance coverage shall be in amounts that are in keeping with industry standards and that are acceptable to the selected vendor and the Department, the minimum amounts of which shall be not less than \$500,000 for automobile liability to include bodily injury and property



damage to one person for any one accident, and \$750,000, for bodily injury and property damage to two or more persons for any one accident, including coverage for all owned, hired, or non-owned vehicles, as applicable.

3.6.1.4.2. Such insurance coverage must list the selected vendor and the Department as additional insureds, and shall be evidenced by certificates of insurance issued by one or more insurance companies licensed to do business in New Hampshire, containing a thirty (30) day notice of cancellation endorsement.

3.6.1.4.3. Transportation Providers must forward copies of such certificates of insurance to the selected vendor prior to the commencement of covered services, and shall issue to the selected vendor and the Department, at any time upon request, copies of any applicable certificates of insurance, renewal, surcharge, cancellation notice, and/or verification of coverage.

3.6.1.4.4. Transportation Providers must provide the selected vendor with at least fifteen (15) days advance written notice in the event of cancellation, restriction or non-renewal of any insurance coverage required herein.

3.6.1.5. Performance Commitments.

3.6.1.5.1. Driver No-Show Limits. Driver No-Shows are defined as instances where a beneficiary has requested transportation within the advance notice requirement but where the transportation request is not fulfilled by the selected vendor through no fault of the beneficiary. The selected vendor must have a zero tolerance policy for driver no-shows. Upon a report of driver no-show, the selected vendor must:



- 3.6.1.5.1.1. Arrange for alternative transportation.
 - 3.6.1.5.1.2. Complete an investigation into the root cause of the driver no-show, with findings reported to the Department within ten (10) business days.
 - 3.6.1.5.1.3. Develop a plan to ensure sustainable performance of transportation for affected beneficiaries.
 - 3.6.1.5.2. On Time Arrival. Transportation Providers must ensure drivers arrive on time for all scheduled trips. On time is defined as no later than 15 minutes prior to the scheduled pickup time.
- 3.6.1.6. Selected Vendor Corrective Action Plans.
 - 3.6.1.6.1. If there are greater than three (3) Transportation Provider no shows or non-on time arrivals within a thirty (30) calendar day time period the selected vendor must immediately take steps to resolve identified risks with Transportation Provider, including but not limited to, investigation of the circumstances surrounding the no-show or non-on time arrival.
 - 3.6.1.6.2. The selected vendor must ensure a Corrective Action Plan is submitted by the transportation provider in instances of more than three (3) driver no-shows or non-on time arrivals within thirty (30) calendar days.
 - 3.6.1.6.3. The selected vendor must provide a copy of the CAP to the Department, followed by a summary report when the CAP is completed.
- 3.6.1.7. Transportation Provider No-Show Responsibility. The selected vendor is responsible for facilitating the



subsequent rescheduling of transportation following a Transportation Provider no-show, Transportation Provider cancellation less than twenty-four (24) hours in advance or the selected vendor's failure to identify a Transportation Provider for a trip. The selected vendor is responsible for any fees or costs incurred by the Department or beneficiary as a result of the no-show or late cancellation. Any such fees shall be deducted from selected vendor's compensation.

- 3.6.1.8. Outbound Calls and Member Confirmation. The selected vendor must confirm transportation with the beneficiary upon a beneficiary's request. The selected vendor shall call or text, as appropriate, the beneficiary at least twenty-four (24) hours, or within a time period, as specified by the parties, in advance of the scheduled transportation time. All outbound calls to members shall be in accordance with applicable Federal regulations and State laws, including but not limited to Telephone Communication Protection Act (TCPA) 47 USC 227.
- 3.6.1.9. Trip Assignment. The selected vendor must ensure that trips requested within the required advance notice period, as mutually defined by the parties, are assigned to an available Transportation Provider. If no Transportation Provider is available, the selected vendor must notify the beneficiary at least twenty-four (24) hours before the scheduled trip time.
- 3.6.1.10. Transportation Provider Monitoring. The selected vendor must submit to the Department for approval a plan for a Transportation Performance report card including standards and quantitative metrics.
 - 3.6.1.10.1. Transportation Providers receiving a score of less than ninety-five percent (95%) for successive monitoring periods must submit a Corrective Action Plans (CAP) to the selected vendor.
 - 3.6.1.10.2. The terms of the CAP shall be made available to the Department.



- 3.6.2. The selected vendor must monitor Transportation Providers to ensure compliance with vehicle and safety standards outlined in this RFP.
 - 3.6.2.1. Condition of Vehicle and Safety Equipment. Vehicles used in the provision of covered services must be properly maintained for the beneficiary's safety and comfort. Such maintenance includes, but is not limited to, ensuring the following:
 - 3.6.2.1.1. Interior of vehicles must be clean and well-maintained.
 - 3.6.2.1.2. Availability of an appropriate and adequate seating for secure and safe transport for each beneficiary and any accompanying individuals.
 - 3.6.2.1.3. Strict adherence to prohibition of smoking in all vehicles. All vehicles shall must have "no smoking" signs posted in vehicle interiors, easily visible to passengers.
 - 3.6.2.1.4. Appropriate safety equipment must be present and fully operational in the vehicle, including but not limited to the following:
 - 3.6.2.1.4.1. First Aid kit.
 - 3.6.2.1.4.2. Roadside reflective or warning devices.
 - 3.6.2.1.4.3. Flashlight.
 - 3.6.2.1.4.4. One (1) fully charged dry carbon dioxide fire extinguisher, in operating condition, with at least a 1A:BC rating and bearing the label of Underwriter's Laboratory, Inc. The fire extinguisher must be securely mounted in the vehicle in a clearly marked compartment and readily accessible.
 - 3.6.2.1.4.5. Chains or other traction devices (when appropriate).
 - 3.6.2.1.4.6. Disposable gloves.



3.6.2.1.4.7. Accident Report Forms.

- 3.6.2.2. Vehicles must be maintained in good operating condition, and must include, among others, the following items in functioning condition:
- 3.6.2.2.1. Brakes.
 - 3.6.2.2.2. Tires.
 - 3.6.2.2.3. Side and rearview mirrors.
 - 3.6.2.2.4. Horn.
 - 3.6.2.2.5. Functioning speedometer and odometer.
 - 3.6.2.2.6. Functioning two-way communication system to link all vehicles to the Transportation Providers' place of business.
 - 3.6.2.2.7. Working turn signals, headlights, taillights, and windshield wipers.
 - 3.6.2.2.8. Adequate and functioning heating and air conditioning systems.
 - 3.6.2.2.9. Seatbelts must be equipped with an adjustable driver's restraining belt with the requirements of FMVSS 209, "Seat Belt Assemblies" (See 49 C.F.R. 571.209) and FMVSS 210, "Seat Belt Assembly Anchorages." (See 49 C.F.R. 571.210).
- 3.6.2.3. Transportation Providers must maintain vehicle maintenance in accordance with:
- 3.6.2.3.1. Manufacturer's safety and mechanical operating and preventive maintenance standards inclusive of tire inflation and tread groove pattern; and
 - 3.6.2.3.2. State and Federal laws, as applicable.
- 3.6.2.4. Transportation Providers must maintain and provide written documentation of preventive maintenance, regular maintenance, inspections, lubrication and repairs performed for each vehicle under their control. Such



records must be maintained for at least seven (7) years and include, at a minimum, the following information:

- 3.6.2.4.1. Identification of the vehicle, which may include make, model and license number or other means of positive identification, and proof of ownership.
- 3.6.2.4.2. Date, mileage, type of inspection, maintenance, lubrication or repair performed.
- 3.6.2.4.3. If not owned by the Transportation Provider, the name of the person or lessor furnishing the vehicle.
- 3.6.2.4.4. The name and address of any entity or individual performing an inspection, maintenance, lubrication or repair.
- 3.6.2.5. Information Displayed. All vehicles of Commercial Transportation Providers must have:
 - 3.6.2.5.1. The Transportation Provider's name, vehicle number (if applicable), and the selected vendor's Department-specific phone number prominently displayed within the interior of each vehicle.
 - 3.6.2.5.2. Instructions for normal and emergency operation of any lift or ramp must be carried or displayed in every vehicle equipped with these items.
- 3.6.2.6. ADA. Vehicles of Commercial Transportation Providers must comply with the American's with Disabilities Act (ADA) regulations. Any vehicles used for the purpose of transporting individuals with disabilities must meet the requirements set forth in 49 CFR Part 38, hereby incorporated by reference, and the following:
 - 3.6.2.6.1. Installation of a wheelchair lift or ramp must not cause the manufacturer's GVWR, gross axle weight rating or tire rating to be exceeded.



- 3.6.2.6.2. Except in locations within three and one half (3½) inches of the vehicle floor, all readily accessible exposed edges or other hazardous protrusions of parts of wheelchair lift assemblies or ramps that are located in the passenger compartment must be padded with energy absorbing material to mitigate injury in normal use and in case of a collision. This requirement also applies to parts of the vehicle associated with the operation of the lift or ramp.
- 3.6.2.6.3. The controls for operating the lift shall be at a location where the driver or lift attendant has a full view, unobstructed by passengers, of the lift platform, its entrance and exit, and the wheelchair passenger, either directly or with partial assistance of mirrors. Lifts located entirely to the rear of the driver's seat must not be operable from the driver's seat but must have an override control at the driver's position that can be activated to prevent the lift from being operated by the other controls (except for emergency manual operation upon power failure).
- 3.6.2.6.4. The installation of the wheelchair lift or ramp and its controls and the method of attachment in the vehicle body or chassis shall not diminish the structural integrity of the vehicle nor cause a hazardous imbalance of the vehicle. No part of the assembly, when installed and stowed, shall extend laterally beyond the normal side contour of the vehicle or vertically beyond the lowest part of the rim of the wheel closes to the lift.
- 3.6.2.6.5. Each wheelchair lift or ramp assembly must be legibly and permanently marked by the manufacturer or installer with, at a minimum, the following information:



- 3.6.2.6.5.1. The manufacturer's name and address.
 - 3.6.2.6.5.2. The month and year of manufacture.
 - 3.6.2.6.5.3. An inspection certificate that the wheelchair lift or ramp securement devices, and their installation, conform to State requirements applicable to accessible vehicles.
- 3.6.2.7. Vehicle State Inspection Requirement.
- 3.6.2.7.1. Transportation provider must ensure all vehicles are inspected and meet state inspection standards. Transportation Providers identified in this section, exclude public transportation/mass transit, which are required to comply with federal and state requirements and inspections. All vehicles used to transport beneficiaries must be state inspected and registered in accordance with state law prior to the provision of services. Records and documentation of annual state inspections, as well as documentation of any required corrective actions, must be retained for compliance review, a minimum of seven (7) years by the Transportation Provider.
 - 3.6.2.7.2. Transportation Provider must obtain and provide to the selected vendor the relevant documentation that the vehicle meets the standards prescribed by law and is safe for transportation services. Documentation of the state inspection must include:
 - 3.6.2.7.2.1. Identification of the individual(s) performing the inspection.
 - 3.6.2.7.2.2. The date of inspection.



- 3.6.2.7.2.3. Identification of the vehicle inspected.
- 3.6.2.7.2.4. Identification of the equipment and devices inspected including the identification of equipment and devices found deficient or defective (specifically identify corrections required in order for the Transportation Provider's vehicle to meet the requirements of the state inspection.).
- 3.6.2.7.2.5. Identification of deficient or defective items and notice of the actions taken to correct the deficiencies.
- 3.6.2.7.3. For taxis and all other commercial vehicles, Transportation Provider must ensure that all vehicles are maintained and operated in accordance with town or city municipal ordinances or codes in addition to all applicable state or federal law requirements.
- 3.6.2.8. Transportation provider Pre-Service Inspections.
 - 3.6.2.8.1. The selected vendor must require Transportation Providers to complete an inspection of all vehicles prior to the provision of services each day. The inspection must evidence the vehicle is safe, clean and in good working order. The Transportation Provider must not provide services and must report to the selected vendor, all defects and deficiencies that are likely to affect safe operation of the vehicle or cause mechanical malfunctions that are likely to result in the discontinuation of vehicle use. The Transportation Provider must make available upon request of the selected vendor, documentation of a vehicle's corrective action



when safe operation was in question in accordance with the above.

3.6.2.8.2. Transportation Provider's inspection log, must be available for audit by selected vendor upon request and must contain, at a minimum, the following inspected items:

3.6.2.8.2.1. Service and Parking Brakes.

3.6.2.8.2.2. Tires and Wheels (noting the tires and wheels are visibly free from cracks and distortion, including bald tires, do not have missing, cracked or broken mounting lugs).

3.6.2.8.2.3. Steering.

3.6.2.8.2.4. Horn.

3.6.2.8.2.5. Lighting, including but not limited to directional, and hazards.

3.6.2.8.2.6. Windshield wipers.

3.6.2.8.2.7. Mirrors.

3.6.2.8.2.8. Passenger doors and seats.

3.6.2.8.2.9. Exhaust systems.

3.6.2.8.2.10. Equipment for transporting wheelchairs, which may include but are not limited to wheelchair lifts or belts to secure the wheel in the vehicle.

3.6.2.8.2.11. Safety and emergency equipment, including but not limited to flares and first aid kits.

3.6.2.8.3. The results of safety inspections must be randomly audited by the selected vendor during site visits.

3.6.2.8.4. Records of Transportation Provider daily pre-operational inspections shall be maintained for



compliance review for a period no less than seven (7) years.

3.6.3. Driver Standards.

3.6.3.1. Driver Responsibility and Training.

3.6.3.1.1. The selected vendor and Transportation Providers must inform and formally train drivers on their job duties and responsibilities and must provide training for the use of all equipment related to their vehicles, including but not limited to the following training programs.

3.6.3.1.1.1. Briefing about the transportation program, reporting forms, vehicle operation and pre-service inspection requirements, and the geographic area in which they will be providing service;

3.6.3.1.1.2. Transportation Provider Invoicing Policy and Procedures;

3.6.3.1.1.3. Road testing with the type of vehicle the driver will be operating; and

3.6.3.1.1.4. Completion of a defensive driving course within six (6) months of date of hire.

3.6.3.1.2. The selected vendor and Transportation Providers must require the completion of detailed training and testing in the following areas:

3.6.3.1.2.1. Safety policies and responsibilities;

3.6.3.1.2.2. Operational vehicle and equipment inspections.

3.6.3.1.2.3. Basic operations, maneuvering and defensive driving techniques



- including vehicle operation in adverse driving conditions.
- 3.6.3.1.2.4. Boarding, alighting, assisting and securing passengers.
- 3.6.3.1.2.5. Operation of wheelchair lift and other special equipment.
- 3.6.3.1.2.6. Handling emergencies, security threats, and threat awareness, including communication of unsafe situations.
- 3.6.3.1.2.7. Beneficiary privacy/ HIPAA training.
- 3.6.3.2. Driver Selection, Reporting and Record Maintenance.
 - 3.6.3.2.1. Transportation Providers must ensure driver selection, includes at a minimum the following requirements:
 - 3.6.3.2.1.1. Driver's appropriate and valid State driver's license, including a valid state chauffeur or taxi license/designation, if applicable;
 - 3.6.3.2.1.2. Review of driver applicant's criminal history and Division of Motor Vehicle records, including review of both personal and commercial or business driving records for the past five (5) years, which must show that the driver applicant has not:
 - 3.6.3.2.1.2.1. Had more than two (2) moving violations or two (2) accidents within the last twelve (12) months.
 - 3.6.3.2.1.3. Drivers must not have been convicted of any felony or misdemeanor crimes related to



drugs, alcohol, healthcare fraud, patient abuse, child abuse, elder abuse, domestic violence, or sexual misconduct. A driver cannot be on any state or federal Sex Offender Registry. Within the last ten (10) years, drivers must not have been convicted of any felony crime. Within the last ten (10) years, drivers shall not have been convicted of any misdemeanor crimes for theft, embezzlement, breach of fiduciary responsibility, other financial misconduct, domestic violence, assault, drugs, or weapons.

3.6.3.2.1.4. The above criteria must be examined prior to employment and at a minimum, annually thereafter.

3.6.3.2.2. The selected vendor must establish a drug screening policy, for all Transportation Providers and drivers with which all parties must comply in accordance with state and federal regulations related to drug screening for drivers.

3.6.4. Driver Code of Conduct. Transportation Provider must ensure that all drivers comply with a Driver Code of Conduct that includes at a minimum:

3.6.4.1.1. Drivers must maintain a valid driver's license and shall comply with state and federal regulations for vehicle transport on roadways.

3.6.4.1.2. No driver will use alcohol, narcotics, illegal drugs or any drugs that impair the ability to perform all required tasks while on duty.



- 3.6.4.1.3. No driver will operate a vehicle when impaired as described above or if impaired by illness or fatigue while on duty.
 - 3.6.4.1.4. Drivers may not allow passengers to sit in the front seat of the vehicle unless medically necessary.
 - 3.6.4.1.5. Drivers may not assist wheelchair passengers, unless it is determined by the beneficiary or guardian and driver that assistance can be provided safely. If either the driver or beneficiary/guardian do not feel an assist can be provided safely, the driver cannot assist.
 - 3.6.4.1.6. Drivers must ensure the safe transport of children in accordance with state law, including the proper installation and use of a car seat, provided by the beneficiary, based on the age and height of the child.
- 3.6.5. The selected vendor must ensure beneficiaries under the age of 13 do not travel alone without an adult (18 years or older) when using NEMT. For children between the ages of 13 and 15, written permission from the beneficiary's parent or guardian is required for that child to travel alone using NEMT. Children ages 16 and older may travel alone when using NEMT.
- 3.6.5.1.1. Drivers must not make sexually implicit or explicit comments, or solicit sexual favors, or engage in sexual activity with a beneficiary or other passengers. Drivers shall not respond to or encourage such behavior from a beneficiary or other passenger.
 - 3.6.5.1.2. Drivers must not make derogatory or demeaning statements based on a beneficiary's race, ethnicity, age, national origin, gender, color, disability, familial status, religious creed, gender identity, sexual orientation or health condition.



- 3.6.5.1.3. Drivers must not solicit, accept or provide controlled substances, alcohol, or medications from/to beneficiaries or other passengers.
- 3.6.5.1.4. Drivers may not attempt to influence or restrain beneficiaries, their families/guardians, or medical providers from making complaints or reporting regarding transportation. This includes refusing to give driver identification/contact information.
- 3.6.5.1.5. Drivers may not attempt to influence beneficiaries, their families/guardians, or medical providers to obtain additional business.
- 3.6.5.1.6. Drivers must not:
 - 3.6.5.1.6.1. Operate a vehicle with inoperable doors or with the doors in the open position.
 - 3.6.5.1.6.2. Leave the vehicle unattended when unsafe to do so with passenger(s) on board at any time.
 - 3.6.5.1.6.3. Leave the vehicle unattended for more than five (5) minutes when passengers are on board.
 - 3.6.5.1.6.4. Wear strong fragrances, eat, smoke, or text in the vehicle.
 - 3.6.5.1.6.5. Consume fluids unless medically necessary for sustenance during transport.
 - 3.6.5.1.6.6. Permit use of the vehicle in a manner not permitted by the construction or design of the vehicle.
 - 3.6.5.1.6.7. Operate any vehicle with recapped, regrooved or



retreaded tires on the steering axle.

3.6.5.1.6.8. Operate unclean vehicles or vehicles containing strong odors.

3.6.5.2. The Transportation Provider will not:

3.6.5.2.1. Permit or require a driver to drive more than twelve (12) hours in any one twenty-four (24) hour period. The driver is not permitted to drive until the driver fulfills the requirement of eight (8) consecutive hours off duty.

3.6.5.2.2. Refuel vehicles in a closed building.

3.6.5.3. The selected vendor must establish procedures for drivers to deal with situations in which emergency care is needed for beneficiaries that they have been assigned to transport.

3.6.5.4. Driver Service Obligations. Transportation Provider must ensure that all drivers satisfy the following requirements:

3.6.5.4.1. All drivers must wear or have visible, easily readable proper identification;

3.6.5.4.2. All drivers must offer boarding assistance if necessary or requested to the seating portion of the vehicle. Boarding assistance, must include, but is not limited to:

3.6.5.4.2.1. Opening and closing the vehicle doors.

3.6.5.4.2.2. Fastening the seat belt when medically necessary.

3.6.5.4.2.3. Storage of mobility assistive devices.

3.6.5.4.3. Drivers will not refuel when passengers are in the vehicle.

3.6.5.4.4. Drivers must only pick up and deliver beneficiaries to locations assigned by the selected vendor.

3.6.5.4.5. Drivers must speak English.



- 3.6.5.4.6. Drivers must be courteous at all times with their passengers.
- 3.6.5.4.7. Beneficiary property that can be carried by the passenger and/or driver will be stored safely on the vehicles at no additional charge. The driver shall provide safe and secure transportation of the following items, as applicable, within the capabilities of the vehicle:
 - 3.6.5.4.7.1. Wheelchairs.
 - 3.6.5.4.7.2. Child seats.
 - 3.6.5.4.7.3. Stretchers.
 - 3.6.5.4.7.4. Secured oxygen.
 - 3.6.5.4.7.5. Personal assistive devices.
 - 3.6.5.4.7.6. Intravenous devices.
- 3.6.5.4.8. Drivers identify themselves by name and company upon arrival to all passengers except in situations where the driver transports a beneficiary on a recurring basis.
- 3.6.5.4.9. In the door-to-door transit service category, the driver must open and close doors to buildings, except in situations in which assistance in opening and/or closing building doors would not be safe for passengers remaining in the vehicle.
- 3.6.6. Representation and Warranties. The Transportation Provider will represent and warrant that any information furnished to the selected vendor in connection with the background check of the drivers is true and correct and the Transportation Provider is not now and never has been excluded from the participation in any state or federal health care program.

Q12 *How will you ensure all drivers appear at their pickup location timely with the correct vehicle? Include a description of your remediation plan for driver no shows.*

Q13 *What is your training curriculum required for a Transportation Providers and drivers? Indicate the mode of training delivery, as well as the frequency of those trainings, and the process for validating completion.*



***Q14** How will you ensure all drivers and vehicles providing transportation meet the minimum qualifications and requirements listed above for Transportation Providers and drivers?*

***Q15** What are your payment turn-around times and frequency of payment to your Transportation Providers?*

***Q16** Identify and describe any instance of non-compliance encountered when providing transportation services. Include any instances of fines, penalties, sanctions imposed due to non-compliance issues.*

- 3.6.7. The selected vendor must ensure the availability of technology necessary to support the production of reports including, but not limited to:
 - 3.6.7.1. Assigned trips.
 - 3.6.7.2. Completed trips.
 - 3.6.7.3. Beneficiary no-shows.
 - 3.6.7.4. Driver no-shows.
 - 3.6.7.5. Unfulfilled trips.
 - 3.6.7.6. Cancelled trips.
 - 3.6.7.7. Costs for trips.
- 3.6.8. The selected vendor must implement an online system for Transportation Providers to submit their claims.
- 3.6.9. The selected vendor must track and maintain records of preventative and routine vehicle service for a minimum period of seven (7) years, including daily inspection reports.

3.7. Information Technology Security Requirements

- 3.7.1. The selected vendor must submit claims for transportation services provided to eligible beneficiaries to the NH Medicaid Management Information System (MMIS) in the Accredited Standards Committee (ASC) X12 837P claim format in order for tracking of encounter data.
- 3.7.2. The selected vendor must receive capitation payment information from the MMIS using the ASC X12N 820 Professional for a monthly capitation payment.
- 3.7.3. The selected vendor must inquire against MMIS to verify that beneficiaries are eligible on the date of service to receive the service. Electronic inquiries may be submitted online using the MMIS portal or by submitting an ASC X12N 270 compliant Eligibility Inquiry



transaction or inquiries can be made through the MMIS automated voice response system.

- 3.7.4. The selected vendor must be able to receive the ASC X12 834 Benefit Enrollment and Maintenance transaction from the MMIS.
- 3.7.5. Additional information technology security requirements are in Appendix G.

3.8. Readiness Testing

- 3.8.1. Prior to the selected vendor providing any services to beneficiaries, The Department will review the selected vendor's readiness to begin providing services. The review will be to determine whether the selected vendor is carrying out its implementation plan as submitted in response to the RFP and agreed upon with the Department. The selected vendor is solely responsible for the cost of all work during the readiness review and undertakes the work at its sole risk. If the Department determines that the selected vendor is not ready to begin providing services on the program start date, it may, at its sole discretion, delay the start of the contract and require corrective action, or terminate the contract.
- 3.8.2. In order to demonstrate its readiness, the selected vendor must cooperate in the Readiness Review conducted by the Department.
- 3.8.3. The selected vendor must coordinate data exchange with the current transportation broker.
- 3.8.4. The selected vendor must participate in all Department trainings in preparation for implementation of the contract.

Q17 Provide your proposed plan that demonstrates readiness to provide all services.

3.9. Reporting Requirements

- 3.9.1. The selected vendor must provide monthly reports to Department that specifies the number of warm transfers made and the program to which the beneficiary was transferred. The initial report must be submitted no later than thirty (30) from the resulting contract effective date and subsequent reports will be due every thirty (30) days thereafter.
- 3.9.2. The selected vendor must provide additional reports, as determined by the Department, based upon the selected vendor's proposal. Report topics include, but are not limited to:
- 3.9.3. The selected vendor must provide reports as specified in this RFP. Such reports include, but are not limited to:



- 3.9.3.1 Call Center Statistics
- 3.9.3.2 Trip Statistics
- 3.9.3.3 Utilization of Service
- 3.9.3.4 Provider Network
- 3.9.3.5 Accident/Incident Report

- 3.9.4. The selected vendor must maintain and provide to the Department upon request, and on a quarterly basis, a list of their Transportation Providers including vehicle types and number of each type of vehicle. The Department expressly reserves the right to reject, suspend, or terminate the participation of any transportation provider or one of their drivers.

3.10. Performance Measures

- 3.10.1. The Department will monitor performance of the selected vendor by reviewing data relative to vendor performance report cards ensuring that the data reflects a minimum score of no less than 95% satisfaction rate from consumers.
- 3.10.2. The Department seeks to actively and regularly collaborate with providers to enhance contract management, improve results, and adjust program delivery and policy based on successful outcomes.
- 3.10.3. The Department may collect other key data and metrics from the selected vendor including client-level demographic, performance, and service data.
- 3.10.4. The Department may identify expectations for active and regular collaboration, including key performance objectives, in the resulting contract. Where applicable, the selected vendor must collect and share data with the Department in a format specified by the Department.

3.11. Compliance

- 3.11.1. Contractor(s) must be in compliance with applicable federal and state laws, rules and regulations, and applicable policies and procedures adopted by the Department currently in effect, and as they may be adopted or amended during the contract period.
- 3.11.2. The selected Contractor must meet all information security and privacy requirements as set by the Department.



- 3.11.3. The selected Contractor must maintain the following records during the resulting contract term where appropriate and as prescribed by the Department:
- 3.11.3.1. Books, records, documents and other electronic or physical data evidencing and reflecting all costs and other expenses incurred by the Contractor in the performance of the Contract, and all income received or collected by the Contractor.
 - 3.11.3.2. All records must be maintained in accordance with accounting procedures and practices, which sufficiently and properly reflect all such costs and expenses, and which are acceptable to the Department, and to include, without limitation, all ledgers, books, records, and original evidence of costs such as purchase requisitions and orders, vouchers, requisitions for materials, inventories, valuations of in-kind contributions, labor time cards, payrolls, and other records requested or required by the Department.
 - 3.11.3.3. Statistical, enrollment, attendance or visit records for each recipient of services, which records shall include all records of application and eligibility (including all forms required to determine eligibility for each such recipient), records regarding the provision of services and all invoices submitted to the Department to obtain payment for such services.
 - 3.11.3.4. Medical records on each patient/recipient of services.
- 3.11.4. **Credits and Copyright Ownership**
- 3.11.4.1. All documents, notices, press releases, research reports and other materials prepared during or resulting from the performance of the services of the Contract shall include the following statement, "The preparation of this (report, document etc.) was financed under a Contract with the State of New Hampshire, Department of Health and Human Services, with funds provided in part by the State of New Hampshire and/or such other funding sources as were available or required, e.g., the United States Department of *Health and Human Services*."
 - 3.11.4.2. All written, video and audio materials produced or purchased under the contract shall have prior approval from the Department before printing, production, distribution or use.
 - 3.11.4.3. The Department will retain copyright ownership for any and all original materials produced, including, but not limited to:
 - 3.11.4.3.1. Brochures.



3.11.4.3.2. Resource directories.

3.11.4.3.3. Protocols.

3.11.4.3.4. Guidelines.

3.11.4.3.5. Posters.

3.11.4.3.6. Reports.

3.11.4.4. The selected Contractor(s) shall not reproduce any materials produced under the contract without prior written approval from the Department.

3.11.5. Culturally and Linguistically Appropriate Standards

3.11.5.1. The Department is committed to reducing health disparities in New Hampshire and recognizes that culture and language can have a considerable impact on how individuals access and respond to health and human services. Culturally and linguistically diverse populations experience barriers in their efforts to access services. As a result, Department is strongly committed to providing culturally and linguistically competent programs and services for its clients, and as a means of ensuring access to quality care for all. As part of that commitment, Department continuously strives to improve existing programs and services, and to bring them in line with current best practices.

3.11.5.2. The Department requires all Contractors and sub-recipients to provide culturally and linguistically appropriate programs and services in compliance with all applicable federal civil rights laws, which may include: Title VI of the Civil Rights Act of 1964, the Americans with Disabilities Act of 1990, the Age Discrimination Act of 1975, and the Rehabilitation Act of 1973. Collectively, these laws prohibit discrimination on the grounds of race, color, national origin, disability, age, sex, and religion.

3.11.5.3. There are numerous resources available to help recipients increase their ability to meet the needs of culturally, racially and linguistically diverse clients. Some of the main information sources are listed in the Bidder's Reference Guide for Completing CLAS Section of the RFP, and, in the Vendor/RFP section of the Department's website.

3.11.5.4. A key Title VI guidance is the National Standards for Culturally and Linguistically Appropriate Services in Health Care (CLAS Standards), developed by the U.S. Department of Health and Human Services in 2000. The CLAS Standards provide specific steps that organizations may take



to make their services more culturally and linguistically appropriate. The enhanced CLAS standards, released in 2013, promote effective communication not only with persons with Limited English Proficiency, but also with persons who have other communication needs. The enhanced Standards provide a framework for organizations to best serve the nation's increasingly diverse communities.

- 3.11.5.5. Contractors are expected to consider the need for language services for individuals with Limited English Proficiency as well as other communication needs, served or likely to be encountered in the eligible service population, both in developing their budgets and in conducting their programs and activities.
- 3.11.5.6. Successful Contractors will be:
 - 3.11.5.6.1. Required to submit a detailed description of the language assistance services they will provide to LEP persons to ensure meaningful access to their programs and/or services, within 10 days of the date the contract is approved by Governor and Council; and
 - 3.11.5.6.2. Monitored on their Federal civil rights compliance using the Federal Civil Rights Compliance Checklist, which can be found in the Vendor/RFP section of the Department's website.
- 3.11.5.7. The guidance that accompanies Title VI of the Civil Rights Act of 1964 requires recipients to take reasonable steps to ensure meaningful access to their programs and services by persons with Limited English Proficiency (LEP persons). The extent of an organization's obligation to provide LEP services is based on an individualized assessment involving the balancing of four factors:
 - 3.11.5.7.1. The number or proportion of LEP persons served or likely to be encountered in the population that is eligible for the program or services (this includes minor children served by the program who have LEP parent(s) or guardian(s) in need of language assistance);
 - 3.11.5.7.2. The frequency with which LEP individuals come in contact with the program, activity or service;



- 3.11.5.7.3. The importance or impact of the contact upon the lives of the person(s) served by the program, activity or service; and
- 3.11.5.7.4. The resources available to the organization to provide language assistance.
- 3.11.5.8. **Contractors are required to complete the TWO (2) steps listed in the Appendix C to this RFP as part of their Proposal.** Completion of these two items is required not only because the provision of language and/or communication assistance is a longstanding requirement under the Federal civil rights laws, but also because consideration of all the required factors will help inform Vendors' program design, which in turn, will allow Vendors to put forth the best possible Proposal.
- 3.11.5.9. For guidance on completing the two steps in Appendix C, please refer to Proposer's Reference for Completing the CLAS Section of the RFP, which is posted on the Department's website.
<http://www.dhhs.nh.gov/business/forms.htm>.
- 3.11.6. **Audit Requirements**
 - 3.11.6.1. The Contractor is required to submit an annual audit to the Department if **any** of the following conditions exist:
 - 3.11.6.1.1. Condition A - The Contractor expended \$750,000 or more in federal funds received as a subrecipient pursuant to 2 CFR Part 200, during the most recently completed fiscal year.
 - 3.11.6.1.2. Condition B - The Contractor is subject to audit pursuant to the requirements of NH RSA 7:28, III-b, pertaining to charitable organizations receiving support of \$1,000,000 or more.
 - 3.11.6.1.3. Condition C - The Contractor is a public company and required by Security and Exchange Commission (SEC) regulations to submit an annual financial audit.
 - 3.11.6.2. If Condition A exists, the Contractor shall submit an annual **single audit** performed by an independent Certified Public Accountant (CPA) to the Department within 120 days after the close of the Contractor's fiscal year, conducted in accordance with the requirements of 2 CFR Part 200, Subpart F of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal awards.



- 3.11.6.3. If Condition B or Condition C exists, the Contractor shall submit an annual **financial audit** performed by an independent CPA within 120 days after the close of the Contractor's fiscal year.
- 3.11.6.4. Any Contractor that receives an amount equal to or greater than \$250,000 from the Department during a single fiscal year, regardless of the funding source, may be required, at a minimum, to submit annual financial audits performed by an independent CPA if the Department's risk assessment determination indicates the Contractor is high-risk.
- 3.11.6.5. In addition to, and not in any way in limitation of obligations of the Contract, it is understood and agreed by the Contractor that the Contractor shall be held liable for any state or federal audit exceptions and shall return to the Department all payments made under the Contract to which exception has been taken, or which have been disallowed because of such an exception.

3.12. Contract Monitoring Provisions

- 3.12.1. All Contractors must complete Appendix B, Contract Monitoring Provisions
- 3.12.2. The Department will use Vendor responses to conduct a risk assessment to determine if enhanced contract monitoring is necessary if the Vendor is awarded a contract. The risk assessment will not be used to disqualify or score Proposals.
- 3.12.3. The Department will complete the risk assessment utilizing multiple factors that include, but are not limited to:
 - 3.12.3.1. Grant management experience.
 - 3.12.3.2. Documented history of non-performance or non-compliance.
 - 3.12.3.3. Audit findings.
 - 3.12.3.4. Recent personnel or system changes.
 - 3.12.3.5. Financial solvency.
 - 3.12.3.6. Adequacy of internal controls.
- 3.12.4. The Department may incorporate contract monitoring procedures and activities into the final contract to address identified risks, which may include but are not limited to:
 - 3.12.4.1. Requiring the Contractor to provide fiscal reports and documentation behind reports to the Department for review.



- 3.12.4.2. Reviewing Contractor reporting processes and systems for data integrity.
- 3.12.4.3. Performing file reviews to ensure Contractor compliance with state and federal laws and rules in the administration of the contract.
- 3.12.4.4. Conducting site visits to assess Contractor compliance with applicable contract objectives and requirements.
- 3.12.4.5. Reviewing Contractor expenditure details to ensure all expenditures are allowable and in compliance with federal and state laws and other applicable policies or rules.
- 3.12.4.6. Providing targeted training or technical assistance to the Contractor.
- 3.12.4.7. Reviewing monthly financial data to assess Contractor financial solvency.

3.12.5. Statement of Vendor's Financial Condition

- 3.12.5.1. The Proposer ability to demonstrate adequate financial resources for performance of the contract or the ability to obtain such resources as required during performance under this contract will be considered by the Department as part of the risk assessment to determine if enhanced contract monitoring is required if a contract is awarded.
- 3.12.5.2. Each Proposer must submit audited financial statements for the four (4) most recently completed fiscal years. Statements must include a report by an independent auditor that expresses an unqualified or qualified opinion as to whether the accompanying financial statements are presented fairly in accordance with generally accepted accounting principles.
- 3.12.5.3. Complete financial statements must include the following:
 - 3.12.5.3.1. Opinion of Certified Public Accountant;
 - 3.12.5.3.2. Balance Sheet;
 - 3.12.5.3.3. Income Statement;
 - 3.12.5.3.4. Statement of Cash Flow;
 - 3.12.5.3.5. Statement of Stockholder's Equity of Fund Balance;
 - 3.12.5.3.6. Complete Financial Notes; and
 - 3.12.5.3.7. Consolidating and Supplemental Financial Schedules.



- 3.12.5.4. A Proposer, which is part of a consolidated financial statement, may file the audited consolidated financial statements if it includes the consolidating schedules as supplemental information. A Proposer, which is part of a consolidated financial statement, but whose certified consolidated financial statements do not contain the consolidating schedules as supplemental information, shall, in addition to the audited consolidated financial statements, file unaudited financial statements for the Vendor alone accompanied by a certificate of authenticity signed by an officer of the corporation, partner, or owner under penalty of unsworn falsification which attests that the financial statements are correct in all material respects.
- 3.12.5.5. If a Proposer is not otherwise required by either state or federal statute to obtain a certification of audit of its financial statements, and thereby elects not to obtain such certification of audit, the Proposer shall submit the following as part of its proposal:
 - 3.12.5.5.1. Uncertified financial statements; and
 - 3.12.5.5.2. A certificate of authenticity which attests that the financial statements are correct in all material respects and is signed by an officer of the corporation, partner, or owner under penalty of unsworn falsification.

4. FINANCE

4.1. Financial Standards

- 4.1.1. Funding for the resulting contract is contingent upon meeting the requirements in the Catalog of Federal Domestic Assistance (CFDA) # 93.779, U.S. Department of Health and Human Services, Centers for Medicare and Medicaid Services, Medical Assistance Program, Medicaid; Title XIX.

4.2. Rate Sheet – Appendix D

- 4.2.1. Per Member / Per Month (PM/PM) Full Capitation Rate

4.2.1.1. PM/PM Capitation Rate

- 4.2.1.1.1. Appendix D, Rate Sheet that includes PMPM. Vendor's Brokerage Cost will be allocated a maximum of 150 points. The price information required in the proposal is intended to provide a sound basis for comparing price. The vendor



must provide a fully burdened brokerage price for services outlined in this RFP.

- 4.2.1.1.2. The following formula will be used to assigned points for the Rate sheet:

$$= \text{Maximum Points } 150 * (\text{Lowest Cost Bid} / \text{Vendor Cost Bid})$$

- 4.2.1.1.3. For the purpose of this formula the lowest proposed cost bid is defined as the lowest PMPM price proposed by a Vendor whose proposal package satisfies the RFP requirements.

4.2.1.2. START UP COSTS

- 4.2.1.2.1. Vendor proposed cost of One-Time Startup Costs (Development/ Infrastructure/Data management) will be allocated a maximum score of 50 points. The price information required in the proposed costs is intended to provide a sound basis for comparing costs between vendors. The Vendor shall provide a fully burdened cost for all one-time Start up/Infrastructure/Data management costs associated with provision of services for which the Department will be responsible.

- 4.2.1.2.2. The following formula will be used to assign points for Proposal Price:

$$\underline{\text{Maximum points} = 100}$$

- For the purposes of this formula, the State will assume a base bid price of \$50,000 and a base score of 50 points for each bidder.
- For each \$1,000 under \$50,000, the bidder will receive one additional point toward the base score of 50 points.
- For each \$1,000 over \$50,000, the bidder will lose one point from the base score of 50 points.

- 4.2.1.2.3. For the purpose of this formula, the lowest proposed cost bid (Startup/Infrastructure/Data management) is defined as the lowest price proposed by a Vendor whose bid package satisfies the RFP requirements.



- 4.2.1.2.4. Vendor's One-Time Startup Costs Budget Narrative – Vendor's narrative description of all elements of the one-time startup costs identified in the startup budget will be allocated a maximum score of 100 points. The narrative description is required to show the vendor has identified with clarity all elements related to building a fully operational service delivery model and has command/knowledge of same related to build price and time constraints. The Vendor must provide a Startup Budget Narrative that outlines the above and matches the Startup Costs provided in Appendix D, Rate Sheet

5. PROPOSAL EVALUATION

5.1. Selection

- 5.1.1. The Department will use a scoring scale of 800 points, with a maximum of 200 points awarded based on the Appendix F, Rate Sheet. The Department will select a Vendor based upon the criteria and standards contained in this RFP and applying the points set forth below.

5.2. Technical Proposal

5.2.1. Vehicles (Q1)	100 Points
5.2.2. Modes of Transportation (Q2)	50 Points
5.2.3. Special Needs Accommodations (Q3)	40 Points
5.2.4. Work Plan for Services (Q4)	130 Points
5.2.5. Mileage Reimbursement (Q5)	50 Points
5.2.6. Fraud, Waste and Abuse (Q6)	30 Points
5.2.7. Call Center (Q7)	60 Points
5.2.8. LEP Services (Q8)	35 Points
5.2.9. Client No-Shows (Q9)	15 Points
5.2.10. Beneficiary Satisfaction (Q10)	35 Points
5.2.11. Complaint Process (Q11)	35 Points
5.2.12. Driver Performance (Q12)	50 Points
5.2.13. Driver and Transportation Provider Training (Q13)	75 Points



5.2.14. Driver Requirements (Q14)	45 Points
5.2.15. Payments (Q15)	20 Points
5.2.16. Past Performance (Q16)	40 Points
5.2.17. Readiness (Q17)	40 Points

Total Technical Proposal Points Available 850 Points

5.3. Cost Proposal

5.3.1. Appendix D, Rate Sheet (PM/PM)	150 Points
5.3.2. Appendix D, Rate Sheet (Start Up Costs)	100 Points

Total Cost Proposal Points Available 250 Points

Maximum Possible Score 1,100 Points

6. PROPOSAL PROCESS

6.1. Contact Information – Sole Point of Contact

- 6.1.1. The sole point of contact, the Contract Specialist, relative to the proposal process for this RFP, from the RFP issue date until the selection of a Proposer, and approval of the resulting contract by the Governor and Executive Council is:

State of New Hampshire
Department of Health and Human Services
Brooke Provost, Contract Specialist
Bureau of Contracts & Procurements
129 Pleasant Street
Concord, New Hampshire 03301
Email: brooke.provost@dhhs.nh.gov
Phone: 603-271-9673

- 6.1.2. From the date of release of this RFP until an award is made and announced regarding the selection of a Proposer, all communication with personnel employed by or under contract with the Department regarding this RFP is prohibited unless first approved by the RFP Sole Point of Contact listed in Section 6.1.1, herein. Department employees have been directed not to hold conferences and/or discussions concerning this RFP with any potential Contractor during the selection process, unless otherwise authorized by the RFP Sole Point of Contact. Proposers may be disqualified for violating this restriction on communications.



6.2. Procurement Timetable

<u>Procurement Timetable</u>		
(All times are according to Eastern Time. The Department reserves the right to modify these dates at its sole discretion.)		
Item	Action	Date
1.	Release RFP	March 10, 2020
2.	Optional Letter of Intent Submission Deadline	March 19, 2020
3.	RFP Questions Submission Deadline	March 24, 2020 11:59 PM
4.	Department Response to Questions Published	April 2, 2020
5.	Proposal Submission Deadline	April 9, 2020 4:30 PM

6.3. Letter of Intent

- 6.3.1. A Letter of Intent to submit a Proposal in response to this RFP optional.
- 6.3.2. Receipt of the Letter of Intent by Department will be required to receive any correspondence regarding this RFP; any RFP amendments, in the event such are produced; or any further materials on this project, including electronic files containing tables required for response to this RFP; any addenda; corrections; schedule modifications; or notifications regarding any informational meetings for Vendors; or responses to comments; or questions.
- 6.3.3. The Letter of Intent may be transmitted by e-mail to the Contract specialist identified in Section 6.1, but must be followed by delivery of a paper copy within two (2) business days to the Contract specialist identified in Section 6.1.
- 6.3.4. The Proposer is responsible for successful e-mail transmission. The Department will provide confirmation of receipt of the Letter of Intent if the name and e-mail address or fax number of the person to receive such confirmation is provided by the Vendor.
- 6.3.5. The Letter of Intent must include the name, telephone number, mailing address and e-mail address of the Vendor's designated contact to which the Department will direct RFP-related correspondence.



6.4. Questions and Answers

6.4.1. Proposers' Questions

- 6.4.1.1. All questions about this RFP including, but not limited to, requests for clarification, additional information or any changes to the RFP must be made in writing, citing the RFP page number and part or subpart, and submitted to the Contract Specialist identified in Section 6.1.
- 6.4.1.2. The Department may consolidate or paraphrase questions for efficiency and clarity. Questions that are not understood will not be answered. Statements that are not questions will not receive a response.
- 6.4.1.3. The questions may be submitted by e-mail. However, the Department assumes no liability for ensuring accurate and complete fax and e-mail transmissions.
- 6.4.1.4. Questions must be received by the Department by the deadline given in Section 6.2, Procurement Timetable.

6.4.2. Department Answers

The Department intends to issue responses to properly submitted questions by the deadline specified in Section 6.2, Procurement Timetable. Oral answers are non-binding. Written answers to questions received will be posted on the Department's website at (<http://www.dhhs.nh.gov/business/rfp/index.htm>). Vendors will be sent an email to the contact identified in the Letters of Intent indicating that the Questions and Answers have been posted on the Department's website. This date may be subject to change at the Department's discretion.

6.5. Exceptions

- 6.5.1. The Department will require the successful Proposer to execute a contract using the Form P-37, General Provisions and Standard Exhibits, which are attached as Appendix A. To the extent that a Vendor believes that exceptions to Appendix A will be necessary for the Vendor to enter into a Contract, the Vendor must note those issues during the RFP Question Period in Subsection 6.2.
- 6.5.2. The Department will review requested exceptions and accept, reject or note that it is open to negotiation of the proposed exception at its sole discretion.
- 6.5.3. If the Department accepts a Proposer's exception, the Department will, at the conclusion of the RFP Question Period, provide notice to all potential Contractors of the exceptions that have been accepted and indicate that exception is available to all potential Contractors by



publication of the Department's answers on or about the date indicated in Subsection 6.2.

- 6.5.4. Any exceptions to the standard form contract and exhibits that are not raised by a Proposer during the RFP Question Period will not be considered. In no event is a Vendor to submit its own standard contract terms and conditions as a replacement for the Department's terms in response to this solicitation.

6.6.RFP Amendment

The Department reserves the right to amend this RFP, as it deems appropriate prior to the Proposal Submission Deadline on its own initiative or in response to issues raised through Proposer questions. In the event of an amendment to the RFP, the Department, at its sole discretion, may extend the Proposal Submission Deadline. Proposer who submitted a Letter of Intent will receive notification of the amendment, and the amended language will be posted on the Department's website.

6.7.Proposal Submission

- 6.7.1. Proposals must be addressed for delivery to the Contract Specialist at the address specified in section 6.1 and marked with **RFP-2020-DMS-10-TRANS**
- 6.7.2. The Department must receive the proposal by the time and date specified in the Procurement Timetable and in the manner specified or it may be rejected as non-compliant.
- 6.7.3. The Department may waive or offer a limited opportunity for a Proposer to cure immaterial deviations from the RFP requirements if it is determined to be in the best interest of the Department.
- 6.7.4. Late submissions that are not accepted will remain unopened. Disqualified submissions will be discarded if not re-claimed by the Proposer by the time the contract is awarded. Delivery of the Proposals shall be at the Proposer's expense.

6.8.Non-Collusion

The Proposer's required signature on the Transmittal Cover Letter for a Proposal submitted in response to this RFP guarantees that the prices, terms and conditions, and services quoted have been established without collusion with other vendors and without effort to preclude the Department from obtaining the best possible competitive proposal.

6.9.Collaborative Proposals

Proposals must be submitted by one organization. Any collaborating organization must be designated as a subcontractor subject to the terms of Appendix A, P-37 General Provisions and Standard Exhibits.

6.10. Validity of Proposals



Proposals must be valid for one hundred and eighty (180) days following the deadline for submission in the Procurement Timetable above in Subsection 6.2, or until the Effective Date of any resulting Contract, whichever is later.

6.11. Property of Department

All material property submitted and received in response to this RFP will become the property of the Department and will not be returned to the Proposer. The Department reserves the right to use any information presented in any Proposal provided that its use does not violate any copyrights or other provisions of law.

6.12. Proposal Withdrawal

Prior to the Proposal Submission Deadline specified in Subsection 6.2, Procurement Timetable, a submitted Letter of Intent or Proposal may be withdrawn by submitting a written request for its withdrawal to the Contract Specialist specified in Subsection 6.1.

6.13. Public Disclosure

- 6.13.1. Pursuant to RSA 21-G:37, the content of responses to this RFP must remain confidential until the Governor and Executive Council have awarded a contract. At the time of receipt of Proposals, the Department will post the number of responses received with no further information. No later than five (5) business days prior to submission of a contract to the Department of Administrative Services pursuant to this RFP, the Department will post the name, rank or score of each Proposer. The Proposer's disclosure or distribution of the contents of its Proposal, other than to the State, will be grounds for disqualification at the State's sole discretion.
- 6.13.2. The content of each Proposal and addenda thereto will become public information once the Governor and Executive Council have approved a contract. Any information submitted as part of a Proposal in response to this RFP may be subject to public disclosure under RSA 91-A. In addition, in accordance with RSA 9-F:1, any contract entered into as a result of this RFP will be made accessible to the public online via the website Transparent NH (www.nh.gov/transparentnh/). Accordingly, business financial information and proprietary information such as trade secrets, business and financials models and forecasts, and proprietary formulas may be exempt from public disclosure under RSA 91-A:5, IV.
- 6.13.3. Insofar as a Proposer seeks to maintain the confidentiality of its confidential commercial, financial or personnel information, the Proposer must clearly identify in writing the information it claims to be confidential and explain the reasons such information should be considered confidential. This must be done by separate letter identifying by page number and Proposal section the specific information the Vendor claims to be exempt from public disclosure pursuant to RSA 91-



A:5. The Proposer is strongly encouraged to provide a redacted copy of their Proposal.

6.13.4. Each Proposer acknowledges that the Department is subject to the Right-to-Know Law New Hampshire RSA Chapter 91-A. The Department shall maintain the confidentiality of the identified confidential information insofar as it is consistent with applicable laws or regulations, including but not limited to New Hampshire RSA Chapter 91-A. In the event the Department receives a request for the information identified by a Proposer as confidential, the Department shall notify the Proposer and specify the date the Department intends to release the requested information. Any effort to prohibit or enjoin the release of the information shall be the Proposer's responsibility and at the Proposer's sole expense. If the Proposer fails to obtain a court order enjoining the disclosure, the Department may release the information on the date the Department specified in its notice to the Proposer without incurring any liability to the Proposer.

6.14. Non-Commitment

Notwithstanding any other provision of this RFP, this RFP does not commit the Department to award a contract. The Department reserves the right to reject any and all Proposals or any portions thereof, at any time and to cancel this RFP and to solicit new Proposals under a new procurement process.

6.15. Liability

By submitting a Proposal in response to this RFP, a Proposer agrees that in no event shall the State be either responsible for or held liable for any costs incurred by a Proposer in the preparation or submittal of or otherwise in connection with a Proposal, or for work performed prior to the Effective Date of a resulting contract.

6.16. Request for Additional Information or Materials

The Department may request any Proposer to provide additional information or materials needed to clarify information presented in the Proposal. Such a request will be issued in writing and will not provide a Proposer with an opportunity to change, extend, or otherwise amend its Proposal in intent or substance.

6.17. Oral Presentations and Discussions

The Department reserves the right to require some or all Proposers to make oral presentations of their Proposal. Any and all costs associated with an oral presentation shall be borne entirely by the Proposer. Proposers may be requested to provide demonstrations of any proposed automated systems. Such a request will be in writing and will not provide a Proposer with an opportunity to change, extend, or otherwise amend its proposal in intent or substance.

6.18. Successful Proposer Notice and Contract Negotiations



- 6.18.1. If a Proposer is selected, the State will send written notification of their selection and the State's desire to enter into contract negotiations. Until the State successfully completes negotiations with the selected Proposer(s), all submitted Proposals remain eligible for selection by the State. In the event contract negotiations are unsuccessful with the selected Proposer(s), the evaluation team may recommend another Proposer(s). The State will not contact Proposer(s) that are not initially selected to enter into contract negotiations.

6.19. Scope of Award and Contract Award Notice

- 6.19.1. The Department reserves the right to award a service, part of a service, group of services, or total Proposal and to reject any and all Proposals in whole or in part. A contract award is contingent on approval by the Governor and Executive Council.
- 6.19.2. If a contract is awarded, the Contractor must obtain written consent from the State before any public announcement or news release is issued pertaining to any contract award.

6.20. Site Visits

The Department may, at its sole discretion, at any time prior to contract award, conduct a site visit at the Proposer's location or at any other location deemed appropriate by the Department, to determine the Proposer's capacity to satisfy the terms of this RFP. The Department may also require the Proposer to produce additional documents, records, or materials relevant to determining the Proposer's capacity to satisfy the terms of this RFP. Any and all costs associated with any site visit or requests for documents shall be borne entirely by the Proposer.

6.21. Protest of Intended Award

Any challenge of an award made or otherwise related to this RFP shall be governed by RSA 21-G:37, and the procedures and terms of this RFP. The procedure set forth in RSA 21-G:37, IV, shall be the sole remedy available to challenge any award resulting from this RFP. In the event that any legal action is brought challenging this RFP and selection process, outside of the review process identified in RSA 21-G:37, IV, and in the event that the State of New Hampshire prevails, the challenger agrees to pay all expenses of such action, including attorney's fees and costs at all stages of litigation.

6.22. Contingency

Aspects of the award may be contingent upon changes to state or federal laws and regulations.

6.23. Ethical Requirements

From the time this RFP is published until a contract is awarded, no Proposer shall offer or give, directly or indirectly, any gift, expense reimbursement, or honorarium, as defined by RSA 15-B, to any elected official, public official, public employee,



constitutional official, or family member of any such official or employee who will or has selected, evaluated, or awarded an RFP, or similar submission. Any Proposer that violates RSA 21-G:38 shall be subject to prosecution for an offense under RSA 640:2. Any Proposer who has been convicted of an offense based on conduct in violation of this section, which has not been annulled, or who is subject to a pending criminal charge for such an offense, shall be disqualified from submitting an Proposal to this RFP, or similar request for submission and every such Proposer shall be disqualified from submitting any Proposal or similar request for submission issued by any state agency. A Proposer that was disqualified under this section because of a pending criminal charge which is subsequently dismissed, results in an acquittal, or is annulled, may notify the Department of Administrative Services, which shall note that information on the list maintained on the state's internal intranet system, except in the case of annulment, the information, shall be deleted from the list.

7. PROPOSAL OUTLINE AND REQUIREMENTS

7.1. Presentation and Identification

7.1.1. Overview

- 7.1.1.1. Proposer are expected to examine all documentation and other requirements. Failure to observe the terms and conditions in completion of the Proposal are at the Vendor's risk and may, at the discretion of the State, result in disqualification.
- 7.1.1.2. Proposals must conform to all instructions, conditions, and requirements included in the RFP.
- 7.1.1.3. Acceptable Proposals must offer all services identified in Section 3 - Statement of Work, unless an allowance for partial scope is specifically described in Section 3.
- 7.1.1.4. Proposals should be received by the Proposal Submission Deadline specified in Subsection 6.2, Procurement Timetable, and delivered, under sealed cover, to the Contract specialist specified in Subsection 6.1.
- 7.1.1.5. Fax or email copies will not be accepted.
- 7.1.1.6. Proposers shall submit a Technical Proposal and a Cost Proposal.

7.1.2. Presentation

- 7.1.2.1. Original Technical and Cost Proposals in separate three-ring binders.
- 7.1.2.2. Copies in a bound format (for example wire bound, coil bound, saddle stitch, perfect bound etc. at minimum stapled)
NOTE: loose Proposals will not be accepted.



- 7.1.2.3. Major sections of the Proposal separated by tabs.
- 7.1.2.4. Standard eight and one-half by eleven inch (8 ½" x 11") white paper.
- 7.1.2.5. Font size of 11 or larger.

7.1.3. Technical Proposal

- 7.1.3.1. Original in 3-ring binder marked as "Original."
- 7.1.3.2. Front cover labeled as follows:
Name of company / organization
RFP-2020-DMS-10-TRANS
Technical Proposal
- 7.1.3.3. The original Transmittal Letter (described in Section 7.2.2.1) must be the first page of the Technical Proposal and marked as "Original."
- 7.1.3.4. Five (5) copies in bound format marked as "Copy."
- 7.1.3.5. One (1) electronic copy (divided into folders that correspond to and are labeled the same as the hard copies) on a thumb or flash drive.
 - 7.1.3.5.1. **NOTE:** In the event of any discrepancy between the copies, the Original will control.
 - 7.1.3.5.2. Vendors may include a Word version of your proposal narrative on the electronic copy.

7.1.4. Cost Proposal

- 7.1.4.1. Original in 3-ring binder marked as "Original."
- 7.1.4.2. Front cover labeled as follows:
Name of company / organization
RFP- RFP-2020-DMS-10-TRANS
Cost Proposal
- 7.1.4.3. A copy of the Transmittal Letter marked as "Copy" as the first page of the Cost Proposal.
- 7.1.4.4. Five (5) copies in bound format marked as "Copy."
- 7.1.4.5. One (1) electronic copy (divided into folders that correspond to and are labeled the same as the hard copies). **NOTE:** In the event of any discrepancy between the copies, the Original will control.

7.2. Outline and Detail

7.2.1. Proposal Contents – Outline



Each Proposal shall contain the following, in the order described in this section. Each of these components must be separate from the others and uniquely identified with labeled tabs.

7.2.2. Technical Proposal Contents – The Transmittal Cover Letter must:

- 7.2.2.1. Be on the Proposer's company letterhead.
- 7.2.2.2. Be signed by an individual who is authorized to bind the company to all statements, including services and prices contained in the Proposal.
- 7.2.2.3. Contain the following:
 - 7.2.2.3.1. Identify the submitting organization;
 - 7.2.2.3.2. Identify the name, title, mailing address, telephone number and email address of the person authorized by the organization to contractually obligate the organization;
 - 7.2.2.3.3. Identify the name, title, mailing address, telephone number and email address of the fiscal agent of the organization;
 - 7.2.2.3.4. Identify the name, title, telephone number, and e-mail address of the person who will serve as the Vendor's representative for all matters relating to the RFP;
 - 7.2.2.3.5. Acknowledge that the Proposer has read this RFP, understands it, and agrees to be bound by its requirements;
 - 7.2.2.3.6. Explicitly state acceptance of terms, conditions, and general instructions stated in Section 8 Mandatory Business Specifications;
 - 7.2.2.3.7. Confirm that Appendix A P-37 General Provisions and Standard Exhibits has been read and is understood;
 - 7.2.2.3.8. Explicitly state that the Proposal is valid for one hundred and eighty (180) days following the deadline for submission in the Procurement Timetable above in Subsection 6.2, or until the Effective Date of any resulting Contract, whichever is later; and
 - 7.2.2.3.9. Include the date that the Proposal was submitted.

7.2.3. Table of Contents



The required elements of the Proposal shall be numbered sequentially and represented in the Table of Contents.

7.2.4. Executive Summary. A Proposer must submit an executive summary to:

- 7.2.4.1. Provide the Department with an overview of the organization and what the Vendor intends to provide;
- 7.2.4.2. Demonstrate an understanding of the services requested in this RFP and any problems anticipated in accomplishing the work;
- 7.2.4.3. Demonstrate the overall design of the project in response to achieving the deliverables as defined in this RFP; and
- 7.2.4.4. Demonstrate familiarity with the project elements, its solutions to the problems presented and knowledge of the requested services.

7.2.5. Proposal Narrative, Project Approach, and Technical Response

- 7.2.5.1. The Proposer must answer all questions and must include all items requested for the Proposal to be considered. The Proposer must address every section of Section 3 Statement of Work, even though certain sections may not be scored.
- 7.2.5.2. Responses must be in the same sequence and format as listed in Section 3 Statement of Work and must, at a minimum, cite the relevant section, subsection, and paragraph number, as appropriate.
- 7.2.5.3. Proposers are encouraged, but not required to include a Word version of the proposal narrative in the electronic copy.

7.2.6. Description of Organization

- 7.2.6.1. Proposers must include in their Proposal a summary of the company's organization, management and history and how the organization's experience demonstrates the ability to meet the needs of requirements in this RFP. At a minimum, the description must include:
 - 7.2.6.1.1. General company overview;
 - 7.2.6.1.2. Ownership and subsidiaries;
 - 7.2.6.1.3. Company background and primary lines of business;
 - 7.2.6.1.4. Number of employees;
 - 7.2.6.1.5. Headquarters and satellite locations;
 - 7.2.6.1.6. Current project commitments;



- 7.2.6.1.7. Major government and private sector clients;
 - 7.2.6.1.8. Mission Statement;
 - 7.2.6.1.9. The programs and activities of the company;
 - 7.2.6.1.10. The number of people served;
 - 7.2.6.1.11. Company accomplishments;
 - 7.2.6.1.12. Reasons the company is capable of effectively completing the services outlined in the RFP; and
 - 7.2.6.1.13. All strengths considered to be assets to the company.
- 7.2.6.2. The Proposer should demonstrate the length, depth, and applicability of all prior experience in providing the requested services as well as the skill and experience of staff.

7.2.7. Proposer's References –

- 7.2.7.1. The Proposal must include relevant information about at least three (3) similar or related contracts or subcontracts awarded to the Vendor. Particular emphasis should be placed on previous contractual experience with government agencies. The Department reserves the right to contact any reference identified. The information must contain the following:
- 7.2.7.1.1. Name, address, telephone number, and website of the customer;
 - 7.2.7.1.2. A description of the work performed under each contract;
 - 7.2.7.1.3. A description of the nature of the relationship between the Vendor and the customer;
 - 7.2.7.1.4. Name and contact information of the person whom the Department can contact; and
 - 7.2.7.1.5. Dates of performance.

7.2.8. Subcontractor Letters of Commitment (if applicable)

If subcontractors are part of this proposal, signed letters of commitment from the subcontractor are required as part of the RFP. The Proposer shall be solely responsible for meeting all requirements and terms and conditions specified in this RFP, its Proposal, and any resulting contract, regardless of whether it proposes to use any subcontractors. The Proposer and any subcontractors shall commit to the entire contract period stated within the RFP, unless a change of subcontractors is specifically agreed to by the State. The State will approve or reject



subcontractors for this project and require the Contractor to replace subcontractors found to be unacceptable.

7.2.9. New Hampshire Certificate of Good Standing

The Department requires every Contractor to acquire a Certificate of Good Standing or assurance of obtaining registration with the New Hampshire Office of the Secretary of State.

7.2.10. Affiliations – Conflict of Interest

The Proposer must include a statement regarding any and all affiliations that might result in a conflict of interest. Explain the relationship and how the affiliation would not represent a conflict of interest.

7.2.11. Required Attachments

7.2.11.1. The following are required statements that must be included with the Technical Proposal. The Proposer must complete the correlating forms found in the RFP Appendices and submit them as the "Required Attachments" section of the Proposal.

7.2.11.1.1. Answers to Questions in Section 3.

7.2.11.1.2. Appendix C, CLAS Requirements.

7.2.11.2. The following are required statements that must be included with the Proposal. The Proposer must complete the correlating forms found in the RFP Appendices and submit them as the "Required Attachments" section of the Proposal.

7.2.11.2.1. Statement of Vendor's Financial Condition documents as described in Paragraph 3.12.5.

7.2.11.2.2. Appendix D, Rate Sheet

8. MANDATORY BUSINESS SPECIFICATIONS

8.1. Contract Terms, Conditions and Liquidated Damages, Forms

8.1.1. Contract Terms and Conditions

The State of New Hampshire sample contract is attached. The Proposer must agree to contractual requirements as set forth in the Appendix A, P-37 General Provisions and Standard Exhibits..

8.1.2. Liquidated Damages

8.1.2.1. The State will negotiate with the awarded vendor to include liquidated damages in the Contract in the event any deliverables are not met.

8.1.2.2. The Department and the Vendor agree that the actual damages that the Department will sustain in the event the



Vendor fails to maintain the required performance standards throughout the life of the contract will be uncertain in amount and difficult and impracticable to determine. The Vendor acknowledges and agrees that any failure to achieve required performance levels by the Contractor will more than likely substantially delay and disrupt the Department's operations. Therefore, the parties agree that liquidated damages shall be determined as part of the contract specifications.

- 8.1.2.3. Assessment of liquidated damages may be in addition to, and not in lieu of, such other remedies as may be available to the Department. Except and to the extent expressly provided herein, the Department shall be entitled to recover liquidated damages applicable to any given incident.
- 8.1.2.4. The Department may determine compliance and assessment of liquidated damages as often as it deems reasonable necessary to ensure required performance standards are met. Amounts due the State as liquidated damages may be deducted by the State from any fees payable to the Contractor and any amount outstanding over and above the amounts deducted from the invoice will be promptly tendered by check from the Contractor to the State.

9. ADDITIONAL INFORMATION

- 9.1. Appendix A – P-37 General Provisions and Standard Exhibits**
- 9.2. Appendix B – Contract Monitoring Provisions**
- 9.3. Appendix C – CLAS Requirements**
- 9.4. Appendix D – Rates**
- 9.5. Appendix E – Technology Requirements**
- 9.6. Appendix F – Liquidated Damages**

Do Not Return

Subject: _____

Notice: This agreement and all of its attachments shall become public upon submission to Governor and Executive Council for approval. Any information that is private, confidential or proprietary must be clearly identified to the agency and agreed to in writing prior to signing the contract.

AGREEMENT

The State of New Hampshire and the Contractor hereby mutually agree as follows:

GENERAL PROVISIONS**1. IDENTIFICATION.**

1.1 State Agency Name New Hampshire Department of Health and Human Services		1.2 State Agency Address 129 Pleasant Street Concord, NH 03301-3857	
1.3 Contractor Name 		1.4 Contractor Address 	
1.5 Contractor Phone Number () -	1.6 Account Number 	1.7 Completion Date Select a Date	1.8 Price Limitation
1.9 Contracting Officer for State Agency Nathan D. White, Director		1.10 State Agency Telephone Number (603) 271-9631	
1.11 Contractor Signature <div style="text-align: right;">Date:</div>		1.12 Name and Title of Contractor Signatory 	
1.13 State Agency Signature <div style="text-align: right;">Date:</div>		1.14 Name and Title of State Agency Signatory 	
1.15 Approval by the N.H. Department of Administration, Division of Personnel (if applicable) <div style="display: flex; justify-content: space-between;"> By: Director, On: </div>			
1.16 Approval by the Attorney General (Form, Substance and Execution) (if applicable) <div style="display: flex; justify-content: space-between;"> By: On: </div>			
1.17 Approval by the Governor and Executive Council (if applicable) <div style="display: flex; justify-content: space-between;"> G&C Item number: G&C Meeting Date: </div>			

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 Contractor Initials _____
 Date _____

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2. SERVICES TO BE PERFORMED. The State of New Hampshire, acting through the agency identified in block 1.1 (“State”), engages contractor identified in block 1.3 (“Contractor”) to perform, and the Contractor shall perform, the work or sale of goods, or both, identified and more particularly described in the attached EXHIBIT B which is incorporated herein by reference (“Services”).

3. EFFECTIVE DATE/COMPLETION OF SERVICES.

3.1 Notwithstanding any provision of this Agreement to the contrary, and subject to the approval of the Governor and Executive Council of the State of New Hampshire, if applicable, this Agreement, and all obligations of the parties hereunder, shall become effective on the date the Governor and Executive Council approve this Agreement as indicated in block 1.17, unless no such approval is required, in which case the Agreement shall become effective on the date the Agreement is signed by the State Agency as shown in block 1.13 (“Effective Date”).

3.2 If the Contractor commences the Services prior to the Effective Date, all Services performed by the Contractor prior to the Effective Date shall be performed at the sole risk of the Contractor, and in the event that this Agreement does not become effective, the State shall have no liability to the Contractor, including without limitation, any obligation to pay the Contractor for any costs incurred or Services performed. Contractor must complete all Services by the Completion Date specified in block 1.7.

4. CONDITIONAL NATURE OF AGREEMENT.

Notwithstanding any provision of this Agreement to the contrary, all obligations of the State hereunder, including, without limitation, the continuance of payments hereunder, are contingent upon the availability and continued appropriation of funds affected by any state or federal legislative or executive action that reduces, eliminates or otherwise modifies the appropriation or availability of funding for this Agreement and the Scope for Services provided in EXHIBIT B, in whole or in part. In no event shall the State be liable for any payments hereunder in excess of such available appropriated funds. In the event of a reduction or termination of appropriated funds, the State shall have the right to withhold payment until such funds become available, if ever, and shall have the right to reduce or terminate the Services under this Agreement immediately upon giving the Contractor notice of such reduction or termination. The State shall not be required to transfer funds from any other account or source to the Account identified in block 1.6 in the event funds in that Account are reduced or unavailable.

5. CONTRACT PRICE/PRICE LIMITATION/ PAYMENT.

5.1 The contract price, method of payment, and terms of payment are identified and more particularly described in EXHIBIT C which is incorporated herein by reference.

5.2 The payment by the State of the contract price shall be the only and the complete reimbursement to the Contractor for all expenses, of whatever nature incurred by the Contractor in the performance hereof, and shall be the only and the complete

compensation to the Contractor for the Services. The State shall have no liability to the Contractor other than the contract price.

5.3 The State reserves the right to offset from any amounts otherwise payable to the Contractor under this Agreement those liquidated amounts required or permitted by N.H. RSA 80:7 through RSA 80:7-c or any other provision of law.

5.4 Notwithstanding any provision in this Agreement to the contrary, and notwithstanding unexpected circumstances, in no event shall the total of all payments authorized, or actually made hereunder, exceed the Price Limitation set forth in block 1.8.

6. COMPLIANCE BY CONTRACTOR WITH LAWS AND REGULATIONS/ EQUAL EMPLOYMENT OPPORTUNITY.

6.1 In connection with the performance of the Services, the Contractor shall comply with all applicable statutes, laws, regulations, and orders of federal, state, county or municipal authorities which impose any obligation or duty upon the Contractor, including, but not limited to, civil rights and equal employment opportunity laws. In addition, if this Agreement is funded in any part by monies of the United States, the Contractor shall comply with all federal executive orders, rules, regulations and statutes, and with any rules, regulations and guidelines as the State or the United States issue to implement these regulations. The Contractor shall also comply with all applicable intellectual property laws.

6.2 During the term of this Agreement, the Contractor shall not discriminate against employees or applicants for employment because of race, color, religion, creed, age, sex, handicap, sexual orientation, or national origin and will take affirmative action to prevent such discrimination.

6.3. The Contractor agrees to permit the State or United States access to any of the Contractor’s books, records and accounts for the purpose of ascertaining compliance with all rules, regulations and orders, and the covenants, terms and conditions of this Agreement.

7. PERSONNEL.

7.1 The Contractor shall at its own expense provide all personnel necessary to perform the Services. The Contractor warrants that all personnel engaged in the Services shall be qualified to perform the Services, and shall be properly licensed and otherwise authorized to do so under all applicable laws.

7.2 Unless otherwise authorized in writing, during the term of this Agreement, and for a period of six (6) months after the Completion Date in block 1.7, the Contractor shall not hire, and shall not permit any subcontractor or other person, firm or corporation with whom it is engaged in a combined effort to perform the Services to hire, any person who is a State employee or official, who is materially involved in the procurement, administration or performance of this Agreement. This provision shall survive termination of this Agreement.

7.3 The Contracting Officer specified in block 1.9, or his or her successor, shall be the State’s representative. In the event of any dispute concerning the interpretation of this Agreement, the Contracting Officer’s decision shall be final for the State.

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Date _____

Do Not Return**8. EVENT OF DEFAULT/REMEDIES.**

8.1 Any one or more of the following acts or omissions of the Contractor shall constitute an event of default hereunder ("Event of Default"):

8.1.1 failure to perform the Services satisfactorily or on schedule;

8.1.2 failure to submit any report required hereunder; and/or

8.1.3 failure to perform any other covenant, term or condition of this Agreement.

8.2 Upon the occurrence of any Event of Default, the State may take any one, or more, or all, of the following actions:

8.2.1 give the Contractor a written notice specifying the Event of Default and requiring it to be remedied within, in the absence of a greater or lesser specification of time, thirty (30) days from the date of the notice; and if the Event of Default is not timely cured, terminate this Agreement, effective two (2) days after giving the Contractor notice of termination;

8.2.2 give the Contractor a written notice specifying the Event of Default and suspending all payments to be made under this Agreement and ordering that the portion of the contract price which would otherwise accrue to the Contractor during the period from the date of such notice until such time as the State determines that the Contractor has cured the Event of Default shall never be paid to the Contractor;

8.2.3 give the Contractor a written notice specifying the Event of Default and set off against any other obligations the State may owe to the Contractor any damages the State suffers by reason of any Event of Default; and/or

8.2.4 give the Contractor a written notice specifying the Event of Default, treat the Agreement as breached, terminate the Agreement and pursue any of its remedies at law or in equity, or both.

8.3. No failure by the State to enforce any provisions hereof after any Event of Default shall be deemed a waiver of its rights with regard to that Event of Default, or any subsequent Event of Default. No express failure to enforce any Event of Default shall be deemed a waiver of the right of the State to enforce each and all of the provisions hereof upon any further or other Event of Default on the part of the Contractor.

9. TERMINATION.

9.1 Notwithstanding paragraph 8, the State may, at its sole discretion, terminate the Agreement for any reason, in whole or in part, by thirty (30) days written notice to the Contractor that the State is exercising its option to terminate the Agreement.

9.2 In the event of an early termination of this Agreement for any reason other than the completion of the Services, the Contractor shall, at the State's discretion, deliver to the Contracting Officer, not later than fifteen (15) days after the date of termination, a report ("Termination Report") describing in detail all Services performed, and the contract price earned, to and including the date of termination. The form, subject matter, content, and number of copies of the Termination Report shall be identical to those of any Final Report described in the attached EXHIBIT B. In addition, at the State's discretion, the Contractor shall, within 15 days of notice of early termination, develop and

submit to the State a Transition Plan for services under the Agreement.

10. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.

10.1 As used in this Agreement, the word "data" shall mean all information and things developed or obtained during the performance of, or acquired or developed by reason of, this Agreement, including, but not limited to, all studies, reports, files, formulae, surveys, maps, charts, sound recordings, video recordings, pictorial reproductions, drawings, analyses, graphic representations, computer programs, computer printouts, notes, letters, memoranda, papers, and documents, all whether finished or unfinished.

10.2 All data and any property which has been received from the State or purchased with funds provided for that purpose under this Agreement, shall be the property of the State, and shall be returned to the State upon demand or upon termination of this Agreement for any reason.

10.3 Confidentiality of data shall be governed by N.H. RSA chapter 91-A or other existing law. Disclosure of data requires prior written approval of the State.

11. CONTRACTOR'S RELATION TO THE STATE. In the performance of this Agreement the Contractor is in all respects an independent contractor, and is neither an agent nor an employee of the State. Neither the Contractor nor any of its officers, employees, agents or members shall have authority to bind the State or receive any benefits, workers' compensation or other emoluments provided by the State to its employees.

12. ASSIGNMENT/DELEGATION/SUBCONTRACTS.

12.1 The Contractor shall not assign, or otherwise transfer any interest in this Agreement without the prior written notice, which shall be provided to the State at least fifteen (15) days prior to the assignment, and a written consent of the State. For purposes of this paragraph, a Change of Control shall constitute assignment. "Change of Control" means (a) merger, consolidation, or a transaction or series of related transactions in which a third party, together with its affiliates, becomes the direct or indirect owner of fifty percent (50%) or more of the voting shares or similar equity interests, or combined voting power of the Contractor, or (b) the sale of all or substantially all of the assets of the Contractor.

12.2 None of the Services shall be subcontracted by the Contractor without prior written notice and consent of the State. The State is entitled to copies of all subcontracts and assignment agreements and shall not be bound by any provisions contained in a subcontract or an assignment agreement to which it is not a party.

13. INDEMNIFICATION. Unless otherwise exempted by law, the Contractor shall indemnify and hold harmless the State, its officers and employees, from and against any and all claims, liabilities and costs for any personal injury or property damages, patent or copyright infringement, or other claims asserted against the State, its officers or employees, which arise out of (or which may be claimed to arise out of) the acts or omission of the

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Date _____

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Contractor, or subcontractors, including but not limited to the negligence, reckless or intentional conduct. The State shall not be liable for any costs incurred by the Contractor arising under this paragraph 13. Notwithstanding the foregoing, nothing herein contained shall be deemed to constitute a waiver of the sovereign immunity of the State, which immunity is hereby reserved to the State. This covenant in paragraph 13 shall survive the termination of this Agreement.

14. INSURANCE.

14.1 The Contractor shall, at its sole expense, obtain and continuously maintain in force, and shall require any subcontractor or assignee to obtain and maintain in force, the following insurance:

14.1.1 commercial general liability insurance against all claims of bodily injury, death or property damage, in amounts of not less than \$1,000,000 per occurrence and \$2,000,000 aggregate or excess; and

14.1.2 special cause of loss coverage form covering all property subject to subparagraph 10.2 herein, in an amount not less than 80% of the whole replacement value of the property.

14.2 The policies described in subparagraph 14.1 herein shall be on policy forms and endorsements approved for use in the State of New Hampshire by the N.H. Department of Insurance, and issued by insurers licensed in the State of New Hampshire.

14.3 The Contractor shall furnish to the Contracting Officer identified in block 1.9, or his or her successor, a certificate(s) of insurance for all insurance required under this Agreement. Contractor shall also furnish to the Contracting Officer identified in block 1.9, or his or her successor, certificate(s) of insurance for all renewal(s) of insurance required under this Agreement no later than ten (10) days prior to the expiration date of each insurance policy. The certificate(s) of insurance and any renewals thereof shall be attached and are incorporated herein by reference.

15. WORKERS' COMPENSATION.

15.1 By signing this agreement, the Contractor agrees, certifies and warrants that the Contractor is in compliance with or exempt from, the requirements of N.H. RSA chapter 281-A ("*Workers' Compensation*").

15.2 To the extent the Contractor is subject to the requirements of N.H. RSA chapter 281-A, Contractor shall maintain, and require any subcontractor or assignee to secure and maintain, payment of Workers' Compensation in connection with activities which the person proposes to undertake pursuant to this Agreement. The Contractor shall furnish the Contracting Officer identified in block 1.9, or his or her successor, proof of Workers' Compensation in the manner described in N.H. RSA chapter 281-A and any applicable renewal(s) thereof, which shall be attached and are incorporated herein by reference. The State shall not be responsible for payment of any Workers' Compensation premiums or for any other claim or benefit for Contractor, or any subcontractor or employee of Contractor, which might arise under applicable State of New Hampshire Workers' Compensation laws in connection with the performance of the Services under this Agreement.

16. NOTICE. Any notice by a party hereto to the other party shall be deemed to have been duly delivered or given at the time of mailing by certified mail, postage prepaid, in a United States Post Office addressed to the parties at the addresses given in blocks 1.2 and 1.4, herein.

17. AMENDMENT. This Agreement may be amended, waived or discharged only by an instrument in writing signed by the parties hereto and only after approval of such amendment, waiver or discharge by the Governor and Executive Council of the State of New Hampshire unless no such approval is required under the circumstances pursuant to State law, rule or policy.

18. CHOICE OF LAW AND FORUM. This Agreement shall be governed, interpreted and construed in accordance with the laws of the State of New Hampshire, and is binding upon and inures to the benefit of the parties and their respective successors and assigns. The wording used in this Agreement is the wording chosen by the parties to express their mutual intent, and no rule of construction shall be applied against or in favor of any party. Any actions arising out of this Agreement shall be brought and maintained in New Hampshire Superior Court which shall have exclusive jurisdiction thereof.

19. CONFLICTING TERMS. In the event of a conflict between the terms of this P-37 form (as modified in EXHIBIT A) and/or attachments and amendment thereof, the terms of the P-37 (as modified in EXHIBIT A) shall control.

20. THIRD PARTIES. The parties hereto do not intend to benefit any third parties and this Agreement shall not be construed to confer any such benefit.

21. HEADINGS. The headings throughout the Agreement are for reference purposes only, and the words contained therein shall in no way be held to explain, modify, amplify or aid in the interpretation, construction or meaning of the provisions of this Agreement.

22. SPECIAL PROVISIONS. Additional or modifying provisions set forth in the attached EXHIBIT A are incorporated herein by reference.

23. SEVERABILITY. In the event any of the provisions of this Agreement are held by a court of competent jurisdiction to be contrary to any state or federal law, the remaining provisions of this Agreement will remain in full force and effect.

24. ENTIRE AGREEMENT. This Agreement, which may be executed in a number of counterparts, each of which shall be deemed an original, constitutes the entire agreement and understanding between the parties, and supersedes all prior agreements and understandings with respect to the subject matter hereof.

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Date _____

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New Hampshire Department of Health and Human Services



Exhibit A

REVISIONS TO STANDARD CONTRACT PROVISIONS**1 – Revisions to Form P-37, General Provisions**

1.1 Paragraph 12, Assignment/Delegation/Subcontracts, is amended by adding subparagraph 12.3 as follows:

12.3 Subcontractors are subject to the same contractual conditions as the Contractor and the Contractor is responsible to ensure subcontractor compliance with those conditions. The Contractor shall have written agreements with all subcontractors, specifying the work to be performed and how corrective action shall be managed if the subcontractor's performance is inadequate. The Contractor shall manage the subcontractor's performance on an ongoing basis and take corrective action as necessary. The Contractor shall annually provide the State with a list of all subcontractors provided for under this Agreement and notify the State of any inadequate subcontractor performance.

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Exhibit A - Revisions to Standard Contract Provisions

Contractor Initials _____

Date _____

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New Hampshire Department of Health and Human Services



EXHIBIT B

Scope of Services

To be drafted in accordance with the selected Vendor’s proposal, as negotiated with the Department through the procurement process.

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Contractor Initials _____

Vendor Name

Page 1 of 1

Date _____

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New Hampshire Department of Health and Human Services



EXHIBIT C

Payment Terms

To be drafted in accordance with the selected Vendor’s proposal, as negotiated with the Department through the procurement process.

VENDOR NAME

Exhibit C

Contractor Initials _____

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Page 1 of 1

Date _____

Rev. 01/08/19

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**New Hampshire Department of Health and Human Services
Exhibit D**



CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The Vendor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

ALTERNATIVE I - FOR GRANTEES OTHER THAN INDIVIDUALS

**US DEPARTMENT OF HEALTH AND HUMAN SERVICES - CONTRACTORS
US DEPARTMENT OF EDUCATION - CONTRACTORS
US DEPARTMENT OF AGRICULTURE - CONTRACTORS**

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.). The January 31, 1989 regulations were amended and published as Part II of the May 25, 1990 Federal Register (pages 21681-21691), and require certification by grantees (and by inference, sub-grantees and sub-contractors), prior to award, that they will maintain a drug-free workplace. Section 3017.630(c) of the regulation provides that a grantee (and by inference, sub-grantees and sub-contractors) that is a State may elect to make one certification to the Department in each federal fiscal year in lieu of certificates for each grant during the federal fiscal year covered by the certification. The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment. Contractors using this form should send it to:

Commissioner
NH Department of Health and Human Services
129 Pleasant Street,
Concord, NH 03301-6505

1. The grantee certifies that it will or will continue to provide a drug-free workplace by:
 - 1.1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - 1.2. Establishing an ongoing drug-free awareness program to inform employees about
 - 1.2.1. The dangers of drug abuse in the workplace;
 - 1.2.2. The grantee's policy of maintaining a drug-free workplace;
 - 1.2.3. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - 1.2.4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - 1.3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - 1.4. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1.4.1. Abide by the terms of the statement; and
 - 1.4.2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - 1.5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 1.4.2 from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency

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Exhibit D**

- has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- 1.6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 1.4.2, with respect to any employee who is so convicted
 - 1.6.1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - 1.6.2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - 1.7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1.1, 1.2, 1.3, 1.4, 1.5, and 1.6.
2. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (street address, city, county, state, zip code) (list each location)

Check ☐ if there are workplaces on file that are not identified here.

Vendor Name:

Date

Name:
Title:

Do Not Return

Vendor Initials _____

Date _____

Do Not Return**New Hampshire Department of Health and Human Services
Exhibit E****CERTIFICATION REGARDING LOBBYING**

The Vendor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Section 319 of Public Law 101-121, Government wide Guidance for New Restrictions on Lobbying, and 31 U.S.C. 1352, and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

US DEPARTMENT OF HEALTH AND HUMAN SERVICES - CONTRACTORS
 US DEPARTMENT OF EDUCATION - CONTRACTORS
 US DEPARTMENT OF AGRICULTURE - CONTRACTORS

Programs (indicate applicable program covered):

- *Temporary Assistance to Needy Families under Title IV-A
- *Child Support Enforcement Program under Title IV-D
- *Social Services Block Grant Program under Title XX
- *Medicaid Program under Title XIX
- *Community Services Block Grant under Title VI
- *Child Care Development Block Grant under Title IV

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor).
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor), the undersigned shall complete and submit Standard Form LLL, (Disclosure Form to Report Lobbying, in accordance with its instructions, attached and identified as Standard Exhibit E-I.)
3. The undersigned shall require that the language of this certification be included in the award document for sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Vendor Name: _____

Date

Name:
Title:

Do Not Return

Exhibit E – Certification Regarding Lobbying

Vendor Initials _____

Do Not Return**New Hampshire Department of Health and Human Services
Exhibit F**

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS**

The Vendor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Executive Office of the President, Executive Order 12549 and 45 CFR Part 76 regarding Debarment, Suspension, and Other Responsibility Matters, and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal (contract), the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the NH Department of Health and Human Services' (DHHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when DHHS determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, DHHS may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the DHHS agency to whom this proposal (contract) is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549: 45 CFR Part 76. See the attached definitions.
6. The prospective primary participant agrees by submitting this proposal (contract) that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by DHHS.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by DHHS, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or involuntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List (of excluded parties).
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and

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Exhibit F**

information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, DHHS may terminate this transaction for cause or default.

PRIMARY COVERED TRANSACTIONS

11. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- 11.1. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - 11.2. have not within a three-year period preceding this proposal (contract) been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or a contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - 11.3. are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (I)(b) of this certification; and
 - 11.4. have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
12. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal (contract).

LOWER TIER COVERED TRANSACTIONS

13. By signing and submitting this lower tier proposal (contract), the prospective lower tier participant, as defined in 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:
- 13.1. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - 13.2. where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal (contract).
14. The prospective lower tier participant further agrees by submitting this proposal (contract) that it will include this clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

Vendor Name: _____

Date_____
Name:
Title:**Do Not Return**

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**New Hampshire Department of Health and Human Services
Exhibit G**



**CERTIFICATION OF COMPLIANCE WITH REQUIREMENTS PERTAINING TO
FEDERAL NONDISCRIMINATION, EQUAL TREATMENT OF FAITH-BASED ORGANIZATIONS AND
WHISTLEBLOWER PROTECTIONS**

The Vendor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

Vendor will comply, and will require any subgrantees or subcontractors to comply, with any applicable federal nondiscrimination requirements, which may include:

- the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. Section 3789d) which prohibits recipients of federal funding under this statute from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act requires certain recipients to produce an Equal Employment Opportunity Plan;
- the Juvenile Justice Delinquency Prevention Act of 2002 (42 U.S.C. Section 5672(b)) which adopts by reference, the civil rights obligations of the Safe Streets Act. Recipients of federal funding under this statute are prohibited from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act includes Equal Employment Opportunity Plan requirements;
- the Civil Rights Act of 1964 (42 U.S.C. Section 2000d, which prohibits recipients of federal financial assistance from discriminating on the basis of race, color, or national origin in any program or activity);
- the Rehabilitation Act of 1973 (29 U.S.C. Section 794), which prohibits recipients of Federal financial assistance from discriminating on the basis of disability, in regard to employment and the delivery of services or benefits, in any program or activity;
- the Americans with Disabilities Act of 1990 (42 U.S.C. Sections 12131-34), which prohibits discrimination and ensures equal opportunity for persons with disabilities in employment, State and local government services, public accommodations, commercial facilities, and transportation;
- the Education Amendments of 1972 (20 U.S.C. Sections 1681, 1683, 1685-86), which prohibits discrimination on the basis of sex in federally assisted education programs;
- the Age Discrimination Act of 1975 (42 U.S.C. Sections 6106-07), which prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance. It does not include employment discrimination;
- 28 C.F.R. pt. 31 (U.S. Department of Justice Regulations – OJJDP Grant Programs); 28 C.F.R. pt. 42 (U.S. Department of Justice Regulations – Nondiscrimination; Equal Employment Opportunity; Policies and Procedures); Executive Order No. 13279 (equal protection of the laws for faith-based and community organizations); Executive Order No. 13559, which provide fundamental principles and policy-making criteria for partnerships with faith-based and neighborhood organizations;
- 28 C.F.R. pt. 38 (U.S. Department of Justice Regulations – Equal Treatment for Faith-Based Organizations); and Whistleblower protections 41 U.S.C. §4712 and The National Defense Authorization Act (NDAA) for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013) the Pilot Program for Enhancement of Contract Employee Whistleblower Protections, which protects employees against reprisal for certain whistle blowing activities in connection with federal grants and contracts.

The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment.

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Exhibit G

Vendor Initials _____

Certification of Compliance with requirements pertaining to Federal Nondiscrimination, Equal Treatment of Faith-Based Organizations
and Whistleblower protections

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In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, to the applicable contracting agency or division within the Department of Health and Human Services, and to the Department of Health and Human Services Office of the Ombudsman.

The Vendor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this proposal (contract) the Vendor agrees to comply with the provisions indicated above.

Vendor Name: _____

Date _____

Name: _____
Title: _____**Do Not Return**

Exhibit G

Vendor Initials _____

Certification of Compliance with requirements pertaining to Federal Nondiscrimination, Equal Treatment of Faith-Based Organizations
and Whistleblower protections

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Exhibit H**



CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

The Vendor identified in Section 1.3 of the General Provisions agrees, by signature of the Contractor's representative as identified in Section 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this contract, the Vendor agrees to make reasonable efforts to comply with all applicable provisions of Public Law 103-227, Part C, known as the Pro-Children Act of 1994.

Vendor Name:

Date

Name:
Title:

Do Not Return

Vendor Initials _____

Date _____

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New Hampshire Department of Health and Human Services



Exhibit I

HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT **BUSINESS ASSOCIATE AGREEMENT**

The Contractor identified in Section 1.3 of the General Provisions of the Agreement agrees to comply with the Health Insurance Portability and Accountability Act, Public Law 104-191 and with the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160 and 164 applicable to business associates. As defined herein, "Business Associate" shall mean the Contractor and subcontractors and agents of the Contractor that receive, use or have access to protected health information under this Agreement and "Covered Entity" shall mean the State of New Hampshire, Department of Health and Human Services.

(1) Definitions.

- a. "Breach" shall have the same meaning as the term "Breach" in section 164.402 of Title 45, Code of Federal Regulations.
- b. "Business Associate" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- c. "Covered Entity" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- d. "Designated Record Set" shall have the same meaning as the term "designated record set" in 45 CFR Section 164.501.
- e. "Data Aggregation" shall have the same meaning as the term "data aggregation" in 45 CFR Section 164.501.
- f. "Health Care Operations" shall have the same meaning as the term "health care operations" in 45 CFR Section 164.501.
- g. "HITECH Act" means the Health Information Technology for Economic and Clinical Health Act, Title XIII, Subtitle D, Part 1 & 2 of the American Recovery and Reinvestment Act of 2009.
- h. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 and the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160, 162 and 164 and amendments thereto.
- i. "Individual" shall have the same meaning as the term "individual" in 45 CFR Section 160.103 and shall include a person who qualifies as a personal representative in accordance with 45 CFR Section 164.501(g).
- j. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.
- k. "Protected Health Information" shall have the same meaning as the term "protected health information" in 45 CFR Section 160.103, limited to the information created or received by Business Associate from or on behalf of Covered Entity.

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Health Insurance Portability Act
Business Associate Agreement
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Exhibit I

- l. "Required by Law" shall have the same meaning as the term "required by law" in 45 CFR Section 164.103.
- m. "Secretary" shall mean the Secretary of the Department of Health and Human Services or his/her designee.
- n. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Part 164, Subpart C, and amendments thereto.
- o. "Unsecured Protected Health Information" means protected health information that is not secured by a technology standard that renders protected health information unusable, unreadable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute.
- p. Other Definitions - All terms not otherwise defined herein shall have the meaning established under 45 C.F.R. Parts 160, 162 and 164, as amended from time to time, and the HITECH Act.

(2) **Business Associate Use and Disclosure of Protected Health Information.**

- a. Business Associate shall not use, disclose, maintain or transmit Protected Health Information (PHI) except as reasonably necessary to provide the services outlined under Exhibit A of the Agreement. Further, Business Associate, including but not limited to all its directors, officers, employees and agents, shall not use, disclose, maintain or transmit PHI in any manner that would constitute a violation of the Privacy and Security Rule.
- b. Business Associate may use or disclose PHI:
 - I. For the proper management and administration of the Business Associate;
 - II. As required by law, pursuant to the terms set forth in paragraph d. below; or
 - III. For data aggregation purposes for the health care operations of Covered Entity.
- c. To the extent Business Associate is permitted under the Agreement to disclose PHI to a third party, Business Associate must obtain, prior to making any such disclosure, (i) reasonable assurances from the third party that such PHI will be held confidentially and used or further disclosed only as required by law or for the purpose for which it was disclosed to the third party; and (ii) an agreement from such third party to notify Business Associate, in accordance with the HIPAA Privacy, Security, and Breach Notification Rules of any breaches of the confidentiality of the PHI, to the extent it has obtained knowledge of such breach.
- d. The Business Associate shall not, unless such disclosure is reasonably necessary to provide services under Exhibit A of the Agreement, disclose any PHI in response to a request for disclosure on the basis that it is required by law, without first notifying Covered Entity so that Covered Entity has an opportunity to object to the disclosure and to seek appropriate relief. If Covered Entity objects to such disclosure, the Business

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Exhibit I

Associate shall refrain from disclosing the PHI until Covered Entity has exhausted all remedies.

- e. If the Covered Entity notifies the Business Associate that Covered Entity has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Business Associate shall be bound by such additional restrictions and shall not disclose PHI in violation of such additional restrictions and shall abide by any additional security safeguards.

(3) Obligations and Activities of Business Associate.

- a. The Business Associate shall notify the Covered Entity's Privacy Officer immediately after the Business Associate becomes aware of any use or disclosure of protected health information not provided for by the Agreement including breaches of unsecured protected health information and/or any security incident that may have an impact on the protected health information of the Covered Entity.
- b. The Business Associate shall immediately perform a risk assessment when it becomes aware of any of the above situations. The risk assessment shall include, but not be limited to:
- o The nature and extent of the protected health information involved, including the types of identifiers and the likelihood of re-identification;
 - o The unauthorized person used the protected health information or to whom the disclosure was made;
 - o Whether the protected health information was actually acquired or viewed
 - o The extent to which the risk to the protected health information has been mitigated.

The Business Associate shall complete the risk assessment within 48 hours of the breach and immediately report the findings of the risk assessment in writing to the Covered Entity.

- c. The Business Associate shall comply with all sections of the Privacy, Security, and Breach Notification Rule.
- d. Business Associate shall make available all of its internal policies and procedures, books and records relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of Covered Entity to the Secretary for purposes of determining Covered Entity's compliance with HIPAA and the Privacy and Security Rule.
- e. Business Associate shall require all of its business associates that receive, use or have access to PHI under the Agreement, to agree in writing to adhere to the same restrictions and conditions on the use and disclosure of PHI contained herein, including the duty to return or destroy the PHI as provided under Section 3 (I). The Covered Entity shall be considered a direct third party beneficiary of the Contractor's business associate agreements with Contractor's intended business associates, who will be receiving PHI

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Health Insurance Portability Act
Business Associate Agreement
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New Hampshire Department of Health and Human Services



Exhibit I

pursuant to this Agreement, with rights of enforcement and indemnification from such business associates who shall be governed by standard Paragraph #13 of the standard contract provisions (P-37) of this Agreement for the purpose of use and disclosure of protected health information.

- f. Within five (5) business days of receipt of a written request from Covered Entity, Business Associate shall make available during normal business hours at its offices all records, books, agreements, policies and procedures relating to the use and disclosure of PHI to the Covered Entity, for purposes of enabling Covered Entity to determine Business Associate's compliance with the terms of the Agreement.
- g. Within ten (10) business days of receiving a written request from Covered Entity, Business Associate shall provide access to PHI in a Designated Record Set to the Covered Entity, or as directed by Covered Entity, to an individual in order to meet the requirements under 45 CFR Section 164.524.
- h. Within ten (10) business days of receiving a written request from Covered Entity for an amendment of PHI or a record about an individual contained in a Designated Record Set, the Business Associate shall make such PHI available to Covered Entity for amendment and incorporate any such amendment to enable Covered Entity to fulfill its obligations under 45 CFR Section 164.526.
- i. Business Associate shall document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an individual for an accounting of disclosures of PHI in accordance with 45 CFR Section 164.528.
- j. Within ten (10) business days of receiving a written request from Covered Entity for a request for an accounting of disclosures of PHI, Business Associate shall make available to Covered Entity such information as Covered Entity may require to fulfill its obligations to provide an accounting of disclosures with respect to PHI in accordance with 45 CFR Section 164.528.
- k. In the event any individual requests access to, amendment of, or accounting of PHI directly from the Business Associate, the Business Associate shall within two (2) business days forward such request to Covered Entity. Covered Entity shall have the responsibility of responding to forwarded requests. However, if forwarding the individual's request to Covered Entity would cause Covered Entity or the Business Associate to violate HIPAA and the Privacy and Security Rule, the Business Associate shall instead respond to the individual's request as required by such law and notify Covered Entity of such response as soon as practicable.
- l. Within ten (10) business days of termination of the Agreement, for any reason, the Business Associate shall return or destroy, as specified by Covered Entity, all PHI received from, or created or received by the Business Associate in connection with the Agreement, and shall not retain any copies or back-up tapes of such PHI. If return or destruction is not feasible, or the disposition of the PHI has been otherwise agreed to in the Agreement, Business Associate shall continue to extend the protections of the Agreement, to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business

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Business Associate Agreement
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Date _____

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New Hampshire Department of Health and Human Services



Exhibit I

Associate maintains such PHI. If Covered Entity, in its sole discretion, requires that the Business Associate destroy any or all PHI, the Business Associate shall certify to Covered Entity that the PHI has been destroyed.

(4) Obligations of Covered Entity

- a. Covered Entity shall notify Business Associate of any changes or limitation(s) in its Notice of Privacy Practices provided to individuals in accordance with 45 CFR Section 164.520, to the extent that such change or limitation may affect Business Associate's use or disclosure of PHI.
- b. Covered Entity shall promptly notify Business Associate of any changes in, or revocation of permission provided to Covered Entity by individuals whose PHI may be used or disclosed by Business Associate under this Agreement, pursuant to 45 CFR Section 164.506 or 45 CFR Section 164.508.
- c. Covered entity shall promptly notify Business Associate of any restrictions on the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 CFR 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

(5) Termination for Cause

In addition to Paragraph 10 of the standard terms and conditions (P-37) of this Agreement the Covered Entity may immediately terminate the Agreement upon Covered Entity's knowledge of a breach by Business Associate of the Business Associate Agreement set forth herein as Exhibit I. The Covered Entity may either immediately terminate the Agreement or provide an opportunity for Business Associate to cure the alleged breach within a timeframe specified by Covered Entity. If Covered Entity determines that neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.

(6) Miscellaneous

- a. Definitions and Regulatory References. All terms used, but not otherwise defined herein, shall have the same meaning as those terms in the Privacy and Security Rule, amended from time to time. A reference in the Agreement, as amended to include this Exhibit I, to a Section in the Privacy and Security Rule means the Section as in effect or as amended.
- b. Amendment. Covered Entity and Business Associate agree to take such action as is necessary to amend the Agreement, from time to time as is necessary for Covered Entity to comply with the changes in the requirements of HIPAA, the Privacy and Security Rule, and applicable federal and state law.
- c. Data Ownership. The Business Associate acknowledges that it has no ownership rights with respect to the PHI provided by or created on behalf of Covered Entity.
- d. Interpretation. The parties agree that any ambiguity in the Agreement shall be resolved to permit Covered Entity to comply with HIPAA, the Privacy and Security Rule.

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Health Insurance Portability Act
Business Associate Agreement
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New Hampshire Department of Health and Human Services



Exhibit I

- e. Segregation. If any term or condition of this Exhibit I or the application thereof to any person(s) or circumstance is held invalid, such invalidity shall not affect other terms or conditions which can be given effect without the invalid term or condition; to this end the terms and conditions of this Exhibit I are declared severable.
- f. Survival. Provisions in this Exhibit I regarding the use and disclosure of PHI, return or destruction of PHI, extensions of the protections of the Agreement in section (3) I, the defense and indemnification provisions of section (3) e and Paragraph 13 of the standard terms and conditions (P-37), shall survive the termination of the Agreement.

IN WITNESS WHEREOF, the parties hereto have duly executed this Exhibit I.

Department of Health and Human Services

The State

Name of the Contractor

Signature of Authorized Representative

Signature of Authorized Representative

Name of Authorized Representative

Name of Authorized Representative

Title of Authorized Representative

Title of Authorized Representative

Date

Date

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**New Hampshire Department of Health and Human Services
Exhibit J**



**CERTIFICATION REGARDING THE FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY
ACT (FFATA) COMPLIANCE**

The Federal Funding Accountability and Transparency Act (FFATA) requires prime awardees of individual Federal grants equal to or greater than \$25,000 and awarded on or after October 1, 2010, to report on data related to executive compensation and associated first-tier sub-grants of \$25,000 or more. If the initial award is below \$25,000 but subsequent grant modifications result in a total award equal to or over \$25,000, the award is subject to the FFATA reporting requirements, as of the date of the award.

In accordance with 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), the Department of Health and Human Services (DHHS) must report the following information for any subaward or contract award subject to the FFATA reporting requirements:

1. Name of entity
2. Amount of award
3. Funding agency
4. NAICS code for contracts / CFDA program number for grants
5. Program source
6. Award title descriptive of the purpose of the funding action
7. Location of the entity
8. Principle place of performance
9. Unique identifier of the entity (DUNS #)
10. Total compensation and names of the top five executives if:
 - 10.1. More than 80% of annual gross revenues are from the Federal government, and those revenues are greater than \$25M annually and
 - 10.2. Compensation information is not already available through reporting to the SEC.

Prime grant recipients must submit FFATA required data by the end of the month, plus 30 days, in which the award or award amendment is made.

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of The Federal Funding Accountability and Transparency Act, Public Law 109-282 and Public Law 110-252, and 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

The below named Contractor agrees to provide needed information as outlined above to the NH Department of Health and Human Services and to comply with all applicable provisions of the Federal Financial Accountability and Transparency Act.

Contractor Name: _____

Date

Name:
Title:

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**New Hampshire Department of Health and Human Services
Exhibit J**



FORM A

As the Contractor identified in Section 1.3 of the General Provisions, I certify that the responses to the below listed questions are true and accurate.

1. The DUNS number for your entity is: _____
2. In your business or organization's preceding completed fiscal year, did your business or organization receive (1) 80 percent or more of your annual gross revenue in U.S. federal contracts, subcontracts, loans, grants, sub-grants, and/or cooperative agreements; and (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?

_____ NO _____ YES

If the answer to #2 above is NO, stop here

If the answer to #2 above is YES, please answer the following:

3. Does the public have access to information about the compensation of the executives in your business or organization through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C.78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

_____ NO _____ YES

If the answer to #3 above is YES, stop here

If the answer to #3 above is NO, please answer the following:

4. The names and compensation of the five most highly compensated officers in your business or organization are as follows:

Name: _____	Amount: _____
Name: _____	Amount: _____
Name: _____	Amount: _____
Name: _____	Amount: _____
Name: _____	Amount: _____

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New Hampshire Department of Health and Human Services

Exhibit K

DHHS Information Security Requirements



A. Definitions

The following terms may be reflected and have the described meaning in this document:

1. "Breach" means the loss of control, compromise, unauthorized disclosure, unauthorized acquisition, unauthorized access, or any similar term referring to situations where persons other than authorized users and for an other than authorized purpose have access or potential access to personally identifiable information, whether physical or electronic. With regard to Protected Health Information, "Breach" shall have the same meaning as the term "Breach" in section 164.402 of Title 45, Code of Federal Regulations.
2. "Computer Security Incident" shall have the same meaning "Computer Security Incident" in section two (2) of NIST Publication 800-61, Computer Security Incident Handling Guide, National Institute of Standards and Technology, U.S. Department of Commerce.
3. "Confidential Information" or "Confidential Data" means all confidential information disclosed by one party to the other such as all medical, health, financial, public assistance benefits and personal information including without limitation, Substance Abuse Treatment Records, Case Records, Protected Health Information and Personally Identifiable Information.

Confidential Information also includes any and all information owned or managed by the State of NH - created, received from or on behalf of the Department of Health and Human Services (DHHS) or accessed in the course of performing contracted services - of which collection, disclosure, protection, and disposition is governed by state or federal law or regulation. This information includes, but is not limited to Protected Health Information (PHI), Personal Information (PI), Personal Financial Information (PFI), Federal Tax Information (FTI), Social Security Numbers (SSN), Payment Card Industry (PCI), and or other sensitive and confidential information.

4. "End User" means any person or entity (e.g., contractor, contractor's employee, business associate, subcontractor, other downstream user, etc.) that receives DHHS data or derivative data in accordance with the terms of this Contract.
5. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996 and the regulations promulgated thereunder.
6. "Incident" means an act that potentially violates an explicit or implied security policy, which includes attempts (either failed or successful) to gain unauthorized access to a system or its data, unwanted disruption or denial of service, the unauthorized use of a system for the processing or storage of data; and changes to system hardware, firmware, or software characteristics without the owner's knowledge, instruction, or consent. Incidents include the loss of data through theft or device misplacement, loss or misplacement of hardcopy documents, and misrouting of physical or electronic

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V5. Last update 10/09/18

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mail, all of which may have the potential to put the data at risk of unauthorized access, use, disclosure, modification or destruction.

7. "Open Wireless Network" means any network or segment of a network that is not designated by the State of New Hampshire's Department of Information Technology or delegate as a protected network (designed, tested, and approved, by means of the State, to transmit) will be considered an open network and not adequately secure for the transmission of unencrypted PI, PFI, PHI or confidential DHHS data.
8. "Personal Information" (or "PI") means information which can be used to distinguish or trace an individual's identity, such as their name, social security number, personal information as defined in New Hampshire RSA 359-C:19, biometric records, etc., alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc.
9. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.
10. "Protected Health Information" (or "PHI") has the same meaning as provided in the definition of "Protected Health Information" in the HIPAA Privacy Rule at 45 C.F.R. § 160.103.
11. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 C.F.R. Part 164, Subpart C, and amendments thereto.
12. "Unsecured Protected Health Information" means Protected Health Information that is not secured by a technology standard that renders Protected Health Information unusable, unreadable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute.

I. RESPONSIBILITIES OF DHHS AND THE CONTRACTOR**A. Business Use and Disclosure of Confidential Information.**

1. The Contractor must not use, disclose, maintain or transmit Confidential Information except as reasonably necessary as outlined under this Contract. Further, Contractor, including but not limited to all its directors, officers, employees and agents, must not use, disclose, maintain or transmit PHI in any manner that would constitute a violation of the Privacy and Security Rule.
2. The Contractor must not disclose any Confidential Information in response to a

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request for disclosure on the basis that it is required by law, in response to a subpoena, etc., without first notifying DHHS so that DHHS has an opportunity to consent or object to the disclosure.

3. If DHHS notifies the Contractor that DHHS has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Contractor must be bound by such additional restrictions and must not disclose PHI in violation of such additional restrictions and must abide by any additional security safeguards.
4. The Contractor agrees that DHHS Data or derivative there from disclosed to an End User must only be used pursuant to the terms of this Contract.
5. The Contractor agrees DHHS Data obtained under this Contract may not be used for any other purposes that are not indicated in this Contract.
6. The Contractor agrees to grant access to the data to the authorized representatives of DHHS for the purpose of inspecting to confirm compliance with the terms of this Contract.

II. METHODS OF SECURE TRANSMISSION OF DATA

1. Application Encryption. If End User is transmitting DHHS data containing Confidential Data between applications, the Contractor attests the applications have been evaluated by an expert knowledgeable in cyber security and that said application's encryption capabilities ensure secure transmission via the internet.
2. Computer Disks and Portable Storage Devices. End User may not use computer disks or portable storage devices, such as a thumb drive, as a method of transmitting DHHS data.
3. Encrypted Email. End User may only employ email to transmit Confidential Data if email is encrypted and being sent to and being received by email addresses of persons authorized to receive such information.
4. Encrypted Web Site. If End User is employing the Web to transmit Confidential Data, the secure socket layers (SSL) must be used and the web site must be secure. SSL encrypts data transmitted via a Web site.
5. File Hosting Services, also known as File Sharing Sites. End User may not use file hosting services, such as Dropbox or Google Cloud Storage, to transmit Confidential Data.
6. Ground Mail Service. End User may only transmit Confidential Data via *certified* ground mail within the continental U.S. and when sent to a named individual.
7. Laptops and PDA. If End User is employing portable devices to transmit Confidential Data said devices must be encrypted and password-protected.
8. Open Wireless Networks. End User may not transmit Confidential Data via an open

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wireless network. End User must employ a virtual private network (VPN) when remotely transmitting via an open wireless network.

9. Remote User Communication. If End User is employing remote communication to access or transmit Confidential Data, a virtual private network (VPN) must be installed on the End User's mobile device(s) or laptop from which information will be transmitted or accessed.
10. SSH File Transfer Protocol (SFTP), also known as Secure File Transfer Protocol. If End User is employing an SFTP to transmit Confidential Data, End User will structure the Folder and access privileges to prevent inappropriate disclosure of information. SFTP folders and sub-folders used for transmitting Confidential Data will be coded for 24-hour auto-deletion cycle (i.e. Confidential Data will be deleted every 24 hours).
11. Wireless Devices. If End User is transmitting Confidential Data via wireless devices, all data must be encrypted to prevent inappropriate disclosure of information.

III. RETENTION AND DISPOSITION OF IDENTIFIABLE RECORDS

The Contractor will only retain the data and any derivative of the data for the duration of this Contract. After such time, the Contractor will have 30 days to destroy the data and any derivative in whatever form it may exist, unless, otherwise required by law or permitted under this Contract. To this end, the parties must:

A. Retention

1. The Contractor agrees it will not store, transfer or process data collected in connection with the services rendered under this Contract outside of the United States. This physical location requirement shall also apply in the implementation of cloud computing, cloud service or cloud storage capabilities, and includes backup data and Disaster Recovery locations.
2. The Contractor agrees to ensure proper security monitoring capabilities are in place to detect potential security events that can impact State of NH systems and/or Department confidential information for contractor provided systems.
3. The Contractor agrees to provide security awareness and education for its End Users in support of protecting Department confidential information.
4. The Contractor agrees to retain all electronic and hard copies of Confidential Data in a secure location and identified in section IV. A.2
5. The Contractor agrees Confidential Data stored in a Cloud must be in a FedRAMP/HITECH compliant solution and comply with all applicable statutes and regulations regarding the privacy and security. All servers and devices must have currently-supported and hardened operating systems, the latest anti-viral, anti-hacker, anti-spam, anti-spyware, and anti-malware utilities. The environment, as a

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whole, must have aggressive intrusion-detection and firewall protection.

6. The Contractor agrees to and ensures its complete cooperation with the State's Chief Information Officer in the detection of any security vulnerability of the hosting infrastructure.

B. Disposition

1. If the Contractor will maintain any Confidential Information on its systems (or its sub-contractor systems), the Contractor will maintain a documented process for securely disposing of such data upon request or contract termination; and will obtain written certification for any State of New Hampshire data destroyed by the Contractor or any subcontractors as a part of ongoing, emergency, and or disaster recovery operations. When no longer in use, electronic media containing State of New Hampshire data shall be rendered unrecoverable via a secure wipe program in accordance with industry-accepted standards for secure deletion and media sanitization, or otherwise physically destroying the media (for example, degaussing) as described in NIST Special Publication 800-88, Rev 1, Guidelines for Media Sanitization, National Institute of Standards and Technology, U. S. Department of Commerce. The Contractor will document and certify in writing at time of the data destruction, and will provide written certification to the Department upon request. The written certification will include all details necessary to demonstrate data has been properly destroyed and validated. Where applicable, regulatory and professional standards for retention requirements will be jointly evaluated by the State and Contractor prior to destruction.
2. Unless otherwise specified, within thirty (30) days of the termination of this Contract, Contractor agrees to destroy all hard copies of Confidential Data using a secure method such as shredding.
3. Unless otherwise specified, within thirty (30) days of the termination of this Contract, Contractor agrees to completely destroy all electronic Confidential Data by means of data erasure, also known as secure data wiping.

IV. PROCEDURES FOR SECURITY

- A. Contractor agrees to safeguard the DHHS Data received under this Contract, and any derivative data or files, as follows:
 1. The Contractor will maintain proper security controls to protect Department confidential information collected, processed, managed, and/or stored in the delivery of contracted services.
 2. The Contractor will maintain policies and procedures to protect Department confidential information throughout the information lifecycle, where applicable, (from creation, transformation, use, storage and secure destruction) regardless of the media used to store the data (i.e., tape, disk, paper, etc.).

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3. The Contractor will maintain appropriate authentication and access controls to contractor systems that collect, transmit, or store Department confidential information where applicable.
4. The Contractor will ensure proper security monitoring capabilities are in place to detect potential security events that can impact State of NH systems and/or Department confidential information for contractor provided systems.
5. The Contractor will provide regular security awareness and education for its End Users in support of protecting Department confidential information.
6. If the Contractor will be sub-contracting any core functions of the engagement supporting the services for State of New Hampshire, the Contractor will maintain a program of an internal process or processes that defines specific security expectations, and monitoring compliance to security requirements that at a minimum match those for the Contractor, including breach notification requirements.
7. The Contractor will work with the Department to sign and comply with all applicable State of New Hampshire and Department system access and authorization policies and procedures, systems access forms, and computer use agreements as part of obtaining and maintaining access to any Department system(s). Agreements will be completed and signed by the Contractor and any applicable sub-contractors prior to system access being authorized.
8. If the Department determines the Contractor is a Business Associate pursuant to 45 CFR 160.103, the Contractor will execute a HIPAA Business Associate Agreement (BAA) with the Department and is responsible for maintaining compliance with the agreement.
9. The Contractor will work with the Department at its request to complete a System Management Survey. The purpose of the survey is to enable the Department and Contractor to monitor for any changes in risks, threats, and vulnerabilities that may occur over the life of the Contractor engagement. The survey will be completed annually, or an alternate time frame at the Departments discretion with agreement by the Contractor, or the Department may request the survey be completed when the scope of the engagement between the Department and the Contractor changes.
10. The Contractor will not store, knowingly or unknowingly, any State of New Hampshire or Department data offshore or outside the boundaries of the United States unless prior express written consent is obtained from the Information Security Office leadership member within the Department.
11. Data Security Breach Liability. In the event of any security breach Contractor shall make efforts to investigate the causes of the breach, promptly take measures to prevent future breach and minimize any damage or loss resulting from the breach. The State shall recover from the Contractor all costs of response and recovery from

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the breach, including but not limited to: credit monitoring services, mailing costs and costs associated with website and telephone call center services necessary due to the breach.

12. Contractor must, comply with all applicable statutes and regulations regarding the privacy and security of Confidential Information, and must in all other respects maintain the privacy and security of PI and PHI at a level and scope that is not less than the level and scope of requirements applicable to federal agencies, including, but not limited to, provisions of the Privacy Act of 1974 (5 U.S.C. § 552a), DHHS Privacy Act Regulations (45 C.F.R. §5b), HIPAA Privacy and Security Rules (45 C.F.R. Parts 160 and 164) that govern protections for individually identifiable health information and as applicable under State law.
13. Contractor agrees to establish and maintain appropriate administrative, technical, and physical safeguards to protect the confidentiality of the Confidential Data and to prevent unauthorized use or access to it. The safeguards must provide a level and scope of security that is not less than the level and scope of security requirements established by the State of New Hampshire, Department of Information Technology. Refer to Vendor Resources/Procurement at <https://www.nh.gov/doit/vendor/index.htm> for the Department of Information Technology policies, guidelines, standards, and procurement information relating to vendors.
14. Contractor agrees to maintain a documented breach notification and incident response process. The Contractor will notify the State's Privacy Officer and the State's Security Officer of any security breach immediately, at the email addresses provided in Section VI. This includes a confidential information breach, computer security incident, or suspected breach which affects or includes any State of New Hampshire systems that connect to the State of New Hampshire network.
15. Contractor must restrict access to the Confidential Data obtained under this Contract to only those authorized End Users who need such DHHS Data to perform their official duties in connection with purposes identified in this Contract.
16. The Contractor must ensure that all End Users:
 - a. comply with such safeguards as referenced in Section IV A. above, implemented to protect Confidential Information that is furnished by DHHS under this Contract from loss, theft or inadvertent disclosure.
 - b. safeguard this information at all times.
 - c. ensure that laptops and other electronic devices/media containing PHI, PI, or PFI are encrypted and password-protected.
 - d. send emails containing Confidential Information only if encrypted and being sent to and being received by email addresses of persons authorized to receive such information.

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- e. limit disclosure of the Confidential Information to the extent permitted by law.
- f. Confidential Information received under this Contract and individually identifiable data derived from DHHS Data, must be stored in an area that is physically and technologically secure from access by unauthorized persons during duty hours as well as non-duty hours (e.g., door locks, card keys, biometric identifiers, etc.).
- g. only authorized End Users may transmit the Confidential Data, including any derivative files containing personally identifiable information, and in all cases, such data must be encrypted at all times when in transit, at rest, or when stored on portable media as required in section IV above.
- h. in all other instances Confidential Data must be maintained, used and disclosed using appropriate safeguards, as determined by a risk-based assessment of the circumstances involved.
- i. understand that their user credentials (user name and password) must not be shared with anyone. End Users will keep their credential information secure. This applies to credentials used to access the site directly or indirectly through a third party application.

Contractor is responsible for oversight and compliance of their End Users. DHHS reserves the right to conduct onsite inspections to monitor compliance with this Contract, including the privacy and security requirements provided in herein, HIPAA, and other applicable laws and Federal regulations until such time the Confidential Data is disposed of in accordance with this Contract.

V. LOSS REPORTING

The Contractor must notify the State's Privacy Officer and Security Officer of any Security Incidents and Breaches immediately, at the email addresses provided in Section VI.

The Contractor must further handle and report Incidents and Breaches involving PHI in accordance with the agency's documented Incident Handling and Breach Notification procedures and in accordance with 42 C.F.R. §§ 431.300 - 306. In addition to, and notwithstanding, Contractor's compliance with all applicable obligations and procedures, Contractor's procedures must also address how the Contractor will:

1. Identify Incidents;
2. Determine if personally identifiable information is involved in Incidents;
3. Report suspected or confirmed Incidents as required in this Exhibit or P-37;
4. Identify and convene a core response group to determine the risk level of Incidents and determine risk-based responses to Incidents; and

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5. Determine whether Breach notification is required, and, if so, identify appropriate Breach notification methods, timing, source, and contents from among different options, and bear costs associated with the Breach notice as well as any mitigation measures.

Incidents and/or Breaches that implicate PI must be addressed and reported, as applicable, in accordance with NH RSA 359-C:20.

VI. PERSONS TO CONTACT

- A. DHHS Privacy Officer:

DHHSPrivacyOfficer@dhhs.nh.gov

- B. DHHS Security Officer:

DHHSInformationSecurityOffice@dhhs.nh.gov

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Appendix B Contract Monitoring Provisions

Management Questionnaire

All Vendors responding to Department-issued Requests for Proposals (RFPs), Requests for Bids (RFBs), or Requests for Applications (RFAs) must complete and return this Management Questionnaire.

	Question	YES	NO	N/A
1.	Was your organization established more than two years ago?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
2.	During the past 18 months, have you experienced staff turnover in positions that will be involved in the administration of the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
3.	Have you managed the same or a similar contract or program during one of the last five (5) calendar years?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
4.	Have you received federal funds from the Department through a contract during one of the last five (5) calendar years?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5.	Were you ever provided formal written notification from the Department that you were in non-compliance or failed to perform in accordance with contract provisions or requirements?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6.	If you had a Single Audit performed in accordance with the Federal Uniform Guidance (2 CFR 200 subpart F (200.500)) by an external entity or an audit performed by a state or federal agency during the most recently completed fiscal year, did the audit include any findings?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
7.	Have you ever been required to return payments to the Department as a result of an audit, unallowable expenditure or any other reason?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8.	Has your organization implemented a new accounting, financial, or programmatic IT system within the last two years?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
9.	Are you aware of any ongoing or pending lawsuits filed against your organization or any investigations or inspections of your organization by any state or federal regulatory agency within the last two years?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
10.	With Department approval, if you intend to subcontract a portion of the work under the resulting contract to another entity, do you have competitive bid procedures for purchases and personal services contracts compliant with state and federal regulations, laws, and rules?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
11.	With Department approval, if you intend to subcontract a portion of the work under the resulting contract to another entity, do you have written policies and procedures for subrecipient/contractor determinations, risk assessments, and subrecipient monitoring as required under Federal Uniform Guidance (2 CFR subpart D (200.300))?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

Appendix B Contract Monitoring Provisions

12.	Does your accounting system identify the receipt and expenditure of program funds separately by each contract or grant, and by line item categories?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
13.	Does your organization maintain a formal system of segregation of duties for procurement, time keeping, and bank statement reconciliation activities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
14.	Do you have procedures to ensure expenditures are reviewed by an independent person* to determine that all expenditures are allowable under the terms of the contract as well as federal and state regulations, laws and rules?*	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
15.	Are time distribution records maintained for each employee performing contracted services that account for time spent working on the contract versus time spent on all other activities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
16.	Does your financial system compare amounts spent to date with budgeted amounts for each award?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
17.	Does your accounting or financial system include budgetary controls to prevent incurring obligations in excess of total funds available for a grant or a cost category (e.g., personnel costs, equipment, travel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
18.	Do you maintain written policy and procedures for all aspects of financial transactions and accounting related to time keeping, a record retention, procurement, and asset management that are compliant with Federal Uniform Guidance requirements (2 CFR subpart D (200.300)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

*An independent person can be any individual within an organization or an outside third party, who verifies that an expenditure made by another person, is appropriate and in accordance with the terms of the contract. For example, one person would be responsible for making a purchase or authorizing payment and a second independent person verifies that funds were spent appropriately. If you do not have an independent person, please mark "No" for Question 15.

Marking No or N/A for any question on the Management Questionnaire does not preclude a Vendor from being selected.

I hereby declare that the answers provided in this Management Questionnaire are accurate and true to the best of my knowledge.

Signature

Printed Name & Job Title

Date

APPENDIX C

Addendum to CLAS Section of RFP for Purpose of Documenting Title VI Compliance

All DHHS applicants are required to complete the following two (2) steps as part of their application:

- (1) Perform an individualized organizational assessment, using the four-factor analysis, to determine the extent of language assistance to provide for programs, services and/or activities; and;
- (2) Taking into account the outcome of the four-factor analysis, respond to the questions below.

Background:

Title VI of the Civil Rights Act of 1964 and its implementing regulations provide that no person shall be subjected to discrimination on the basis of race, color, or national origin under any program that receives Federal financial assistance. The courts have held that national origin discrimination includes discrimination on the basis of limited English proficiency. Any organization or individual that receives Federal financial assistance, through either a grant, contract, or subcontract is a covered entity under Title VI. Examples of covered entities include the NH Department of Health and Human Services and its contractors.

Covered entities are required to take reasonable steps to ensure **meaningful access** by persons with limited English proficiency (LEP) to their programs and activities. LEP persons are those with a limited ability to speak, read, write or understand English.

The **key** to ensuring meaningful access by LEP persons is effective communication. An agency or provider can ensure effective communication by developing and implementing a language assistance program that includes policies and procedures for identifying and assessing the language needs of its LEP clients/applicants, and that provides for an array of language assistance options, notice to LEP persons of the right to receive language assistance free of charge, training of staff, periodic monitoring of the program, and translation of certain written materials.

The Office for Civil Rights (OCR) is the federal agency responsible for enforcing Title VI. OCR recognizes that covered entities vary in size, the number of LEP clients needing assistance, and the nature of the services provided. Accordingly, covered entities have some flexibility in how they address the needs of their LEP clients. (In other words, it is understood that one size language assistance program does not fit all covered entities.)

The **starting point** for covered entities to determine the extent of their obligation to provide LEP services is to apply a four-factor analysis to their organization. It is important to understand that the flexibility afforded in addressing the needs of LEP clients **does not diminish** the obligation covered entities have to address those needs.

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Examples of practices that may violate Title VI include:

- Limiting participation in a program or activity due to a person's limited English proficiency;
- Providing services to LEP persons that are more limited in scope or are lower in quality than those provided to other persons (such as then there is no qualified interpretation provided);
- Failing to inform LEP persons of the right to receive free interpreter services and/or requiring LEP persons to provide their own interpreter;
- Subjecting LEP persons to unreasonable delays in the delivery of services.

Applicant STEP #1 – Individualized Assessment Using Four-Factor Analysis

The four-factor analysis helps an organization determine the right mix of services to provide to their LEP clients. The right mix of services is based upon an individualized assessment, involving the balancing of the following four factors.

- (1) The **number** or proportion of LEP persons served or likely to be encountered in the population that is eligible for the program;
- (2) The **frequency** with which LEP individuals come in contact with the program, activity or service;
- (3) The **importance** or impact of the contact upon the lives of the person(s) served by the program, activity or service;
- (4) The **resources** available to the organization to provide effective language assistance.

This addendum was created to facilitate an applicant's application of the four-factor analysis to the services they provide. At this stage, applicants are not required to submit their four-factor analysis as part of their application. **However, successful applicants will be required to submit a detailed description of the language assistance services they will provide to LEP persons to ensure meaningful access to their programs and/or services, within 10 days of the date the contract is approved by Governor and Council.** For further guidance, please see the Bidder's Reference for Completing the Culturally and Linguistically Appropriate Services (CLAS) Section of the RFP, which is available in the Vendor/RFP Section of the DHHS website.

APPENDIX C

Important Items to Consider When Evaluating the Four Factors.

Factor #1 The number or proportion of LEP persons served or encountered in the population that is eligible for the program.

Considerations:

- The eligible population is specific to the program, activity or service. It includes LEP persons serviced by the program, as well as those directly affected by the program, activity or service.
- Organizations are required not only to examine data on LEP persons served by their program, but also those in the community who are **eligible** for the program (but who are not currently served or participating in the program due to existing language barriers).
- Relevant data sources may include information collected by program staff, as well as external data, such as the latest Census Reports.
- Recipients are required to apply this analysis to each language in the service area. When considering the number or proportion of LEP individuals in a service area, recipients should consider whether the minor children their programs serve have LEP parent(s) or guardian(s) with whom the recipient may need to interact. It is also important to consider language minority populations that are eligible for the programs or services, but are not currently served or participating in the program, due to existing language barriers.
- An effective means of determining the number of LEP persons served is to record the preferred languages of people who have day-to-day contact with the program.
- It is important to remember that the **focus** of the analysis is on the lack of English proficiency, not the ability to speak more than one language.

Factor #2: The frequency with which LEP individuals come in contact with the program, activity or service.

- The more frequently a recipient entity has contact with individuals in a particular language group, the more likely that language assistance in that language is needed. For example, the steps that are reasonable for a recipient that serves an LEP person on a one-time basis will be very different from those that are expected from a recipient that serves LEP persons daily.
- Even recipients that serve people from a particular language group infrequently or on an unpredictable basis should use this four-factor analysis to determine what to do if an LEP person seeks services from their program.
- The resulting plan may be as simple as being prepared to use a telephone interpreter service.
- The key is to have a plan in place.

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Factor #3 The importance or impact of the contact upon the lives of the person(s) served by the program, activity or service.
<ul style="list-style-type: none">• The more important a recipient's activity, program or service, or the greater the possible consequence of the contact to the LEP persons, the more likely language services are needed.• When considering this factor, the recipient should determine both the importance, as well as the urgency of the service. For example, if the communication is both important and urgent (such as the need to communicate information about an emergency medical procedure), it is more likely that immediate language services are required. If the information to be communicated is important but not urgent (such as the need to communicate information about elective surgery, where delay will not have any adverse impact on the patient's health), it is likely that language services are required, but that such services can be delayed for a reasonable length of time.
Factor #4 The resources available to the organization to provide effective language assistance.
<ul style="list-style-type: none">• A recipient's level of resources and the costs of providing language assistance services is another factor to consider in the analysis.• Remember, however, that cost is merely one factor in the analysis. Level of resources and costs do not diminish the requirement to address the need, however they may be considered in determining how the need is addressed;• Resources and cost issues can often be reduced, for example, by sharing language assistance materials and services among recipients. Therefore, recipients should carefully explore the most cost-effective means of delivering quality language services prior to limiting services due to resource limitations.

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Applicant STEP #2 - Required Questions Relating to Language Assistance Measures

Taking into account the four-factor analysis, please answer the following questions in the six areas of the table below. (**Do not** attempt to answer the questions until you have completed the four-factor analysis.) The Department understands that your responses will depend on the outcome of the four-factor analysis. The requirement to provide language assistance does not vary, but the measures taken to provide the assistance will necessarily differ from organization to organization.

1. IDENTIFICATION OF LEP PERSONS SERVED OR LIKELY TO BE ENCOUNTERED IN YOUR PROGRAM		
a. Do you make an effort to identify LEP persons served in your program? (One way to identify LEP persons served in your program is to collect data on ethnicity, race, and/or preferred language.)	Yes	No
b. Do you make an effort to identify LEP persons likely to be encountered in the population eligible for your program or service? (One way to identify LEP persons likely to be encountered is by examining external data sources, such as Census data)	Yes	No
c. Does you make an effort to use data to identify new and emerging population or community needs?	Yes	No
2. NOTICE OF AVAILABILITY OF LANGUAGE ASSISTANCE		
Do you inform all applicants / clients of their right to receive language / communication assistance services at no cost? (Or, do you have procedures in place to notify LEP applicants / clients of their right to receive assistance, if needed?) <u>Example:</u> One way to notify clients about the availability of language assistance is through the use of an "I Speak" card.	Yes	No
3. STAFF TRAINING		
Do you provide training to personnel at all levels of your organization on federal civil rights laws compliance and the procedures for providing language assistance to LEP persons, if needed?	Yes	No
4. PROVISION OF LANGUAGE ASSISTANCE		
Do you provide language assistance to LEP persons, free of charge, in a timely manner? (Or, do you have procedures in place to provide language	Yes	No

APPENDIX C

assistance to LEP persons, if needed) In general, covered entities are required to provide two types of language assistance: (1) oral interpretation and (2) translation of written materials. Oral interpretation may be carried out by contracted in-person or remote interpreters, and/or bi-lingual staff. <u>(Examples</u> of written materials you may need to translate include vital documents such as consent forms and statements of rights.)		
5. ENSURING COMPETENCY OF INTERPRETERS USED IN PROGRAM AND THE ACCURACY OF TRANSLATED MATERIALS		
a. Do you make effort to assess the language fluency of all interpreters used in your program to determine their level of competence in their specific field of service? (Note: A way to fulfill this requirement is to use certified interpreters only.)	Yes	No
b. As a general rule, does your organization avoid the use of family members, friends, and other untested individual to provide interpretation services?	Yes	No
c. Does your organization have a policy and procedure in place to handle client requests to use a family member, friend, or other untested individual to provide interpretation services?	Yes	No
d. Do you make an effort to verify the accuracy of any translated materials used in your program (or use only professionally certified translators)? (Note: Depending on the outcome of the four-factor analysis, N/A (Not applicable) may be an acceptable response to this question.	Yes	No
6. MONITORING OF SERVICES PROVIDED		
Does you make an effort to periodically evaluate the effectiveness of any language assistance services provided, and make modifications, as needed?	Yes	No
If there is a designated staff member who carries out the evaluation function? If so, please provide the person's title: <hr style="border: 0; border-top: 1px solid black; margin-top: 10px;"/>	Yes	No

By signing and submitting this attachment to RFA# _____, the Contractor affirms that it:

- 1.) Has completed the four-factor analysis as part of the process for creating its proposal, in response to the above referenced RFA.

APPENDIX C

- 2.) Understands that Title VI of the Civil Rights Act of 1964 requires the Contractor to take reasonable steps to ensure meaningful access to ***all*** LEP persons to all programs, services, and/or activities offered by my organization.
- 3.) Understands that, if selected, the Contractor will be required to submit a detailed description of the language assistance services it will provide to LEP persons to ensure meaningful access to programs and/or services, within 10 days of the date the contract is approved by Governor and Council.

Contractor/Vendor Signature

Contractor's Representative Name/Title

Contractor Name

Date



Appendix D Rate Sheets

1. Per Member Per Month (PM/PM) Full Risk Capitation Rate

- 1.1. A Full Risk Capitation Rate consists of two (2) components:
 - 1.1.1. Transportation Component; and
 - 1.1.2. Administrative Component.
- 1.2. Vendors must identify both components in the PM/PM Rate Table. The Administrative Component may include if applicable, costs associated with the categories identified below:

Administrative Cost Category	Description
Claims	Mailroom and Claims Preparation; Data Capture; Adjudication; COB / TPL / Subrogation; Adjustments and Rework; Audit and Training; Claim System File Setup and Configuration; Management and Administration
Provider Network Development and Management	Provider and Network Eligibility and Oversight; Provider Appeals; Contracting and/or Credentialing; Management, Education, and Administration
Customer Service	Customer Service Calls and Education; Customer Complaints and Grievances; Training and Auditing; Management and Administration
Eligibility	Management and Administration
Business Development / Marketing / Sales	Advertising and Promotion; Product Development and Management; Market Research; Sales, Account Management, and Sales Support; Communication and Materials; Management and Administration
Finance	Accounting; Finance; Financial Reporting; Experience and Trend Reporting; Management and Administration
Information Systems	Operations and Support; Systems, Network, and Desktop Maintenance; Software Setup and Maintenance; Development and Integration; Application Development and Programming; Data Exchange, Warehouse and Analytics; Management and Administration
Other Management and Administration	Executive Leadership; Human Resources; Legal; Compliance and Risk Management; Facilities and Purchasing; Other



Appendix D Rate Sheets

1.3. The following percentages of modes of transportation are approximate, based on calendar year 2019 data.

Percentages of Each Mode of Transportation Based on Beneficiary Estimates Below	
Mileage Reimbursement Program	48.5%
Taxi	45%
Wheel Chair Van	5%
Basic Life Support Ambulance	1.5%

2. PM/PM Rate Table

2.1. Proposers must submit a PM/PM rate based on the below percentages for each mode of transportation used.

	Transportation Component	Administrative Component	PM/PM Full Risk Capitation Rate
Year 1 7/1/2020-6/30/2021 2,000 beneficiaries*			
Year 2 7/1/2021-6/30/2022 2,000 beneficiaries*			

***Number of beneficiaries eligible on the 15th of each month.**

3. Start Up Costs

3.1. The Vendor shall provide a fully burdened cost for all one-time Start up/Infrastructure/Data management costs associated with provision of services for which the Department will be responsible.

One Time Start-Up Costs
\$

3.2. The Vendor must provide a Startup Budget Narrative that outlines all elements of the one-time startup costs identified above.



Attachment E

1. Information Technology Security Requirements

- 1.1. The vendor will sign and comply with any and all system access policies and procedures, systems access forms, and computer use agreements as part of obtaining and maintaining access to any DHHS system. This will be completed prior to system access being authorized, and on a regular basis as requested by DHHS.
- 1.2. The vendor will maintain proper security and privacy controls on its systems according to applicable federal, state, and local regulations and aligned with industry standards and best practices including but not limited to CMS Federal regulations, HIPAA/HITECH, RSA 359c. Ensure the safe and secure management of vulnerabilities through recurring practice of identifying, classifying, remediating, and mitigating threats.
- 1.3. Develop, maintain, and follow procedures to ensure that data is protected throughout its entire information lifecycle (from creation, transformation, use, storage and secure destruction) regardless of the media used to store the data (i.e., tape, disk, paper, etc.).
- 1.4. The vendor will provide to DHHS on an annual basis a written attestation of HIPAA compliance, which will demonstrate proper operational security and privacy controls, policies, and procedures are in place and maintained within their organization and any applicable sub-contractors.
- 1.5. The contractor will provide a documented process for securely disposing of data, data storage hardware, and or media; and will obtain written certification for any State data destroyed by the vendor or any subcontractors as a part of ongoing, emergency, and or disaster recovery operations. When no longer in use, electronic media containing DHHS data is rendered unrecoverable via a secure wipe program in accordance with industry-accepted standards for secure deletion, or otherwise physically destroying the media (for example, degaussing).
- 1.6. When using third party service providers to create, collect, access, transmit, or store State of NH data, additional documentation may be required by the vendor.
- 1.7. DHHS may from time to time audit the security mechanisms the vendor maintains to safeguard access to the State of NH information, systems and electronic communications. Audits may include examination of systems security, associated administrative practices, and requests for additional documentation in support of this contract.

2. Technology Requirements

- 2.1. Mapping Systems. Mapping/distance software used to calculate trip mileage for reimbursement and related purposes must be updated on a monthly basis to ensure accurate geographic code distribution.



- 2.2. Reporting Systems. Selected vendor must maintain the technology necessary to support the production of reports including, but not limited to: assigned trips; completed trips; member no-shows; provider no-shows; rejected trips; and cancelled trips, and costs for trips.
- 2.3. Online Functionality. Vendor shall implement online system for submitting claims and mileage Contractor information.
- 2.4. Electronic Data Interchange (EDI) transaction processing and interfacing with the NH MMIS for member eligibility verification: Vendors shall verify member NHHPP eligibility for the date of service either by submitting an ASC X12N 270 eligibility inquiry transaction and receiving the 271 eligibility inquiry response, submitting an online eligibility verification request, or calling the automated voice response system. Failure to confirm eligibility for the date of service will result in claims not being paid if the member is determined during claims processing not to be eligible.
- 2.5. Electronic Data Interchange Member Enrollment Processing – Selected vendor must receive and process member benefit plan enrollment data from the MMIS in the form of an ASC 834 Benefit Enrollment transaction if the vendor chooses to receive member enrollment data.
- 2.6. Electronic Data Interchange Claims Processing – will receive capitation payment information from MMIS using the ASC X12N 820 Professional transaction or other supplemental payment reports.
- 2.7. Electronic Data Interchange Encounter Data– Contractor will submit encounter data at least weekly to the MMIS using the ASC X12 837 Professional transaction standard.



Appendix F Liquidated Damages

The Department shall regularly review the Selected Vendor's performance, through means including but not limited to, reports, to determine that the Selected Vendor is meeting performance standards.

The Department and the Selected Vendor agree that it shall be extremely impracticable and difficult to determine actual damages that the Department will sustain in the event the Selected Vendor fails to maintain the required performance standards within the Agreement.

The parties agree that liquidated damages as specified in Appendix F (Liquidated Damages) are reasonable. Assessment of liquidated damages shall be in addition to, not in lieu of, such other remedies that may be available to the Department. Liquidated damages will be assessed based on the categorization of the violation or non-compliance as set forth in Exhibit F (Liquidated Damages).



Appendix F Liquidated Damages

Reporting Reference ID	Standard	Liquidated Damages
Timely and Accurate Delivery of Regulatory Reports 3.9	Vendor shall deliver accurate and timely regulatory and management reports, and data submissions to the Department according to the timeframes set forth in the Contract.	\$25.00 for each late report.
Call Center 3.3.4	Vendor must meet all Call Center and call response performance standards. <ul style="list-style-type: none"> • Calls must be answered within 90 seconds. • Urgent, after hours calls must be returned within one (1) hour of receipt of call and transportation scheduled within two (2) hours of receipt of call. • After-hour non-urgent calls returned during next business day. 	\$25.00 per occurrence not satisfied within timeframes.
Incident/ Accident/ Significant Event Reporting 3.5	Vendor shall report 100% of incidents and significant events within the prescribed timeframes. <ul style="list-style-type: none"> • Within twelve (12) hours of the selected vendor being notified, or becoming aware, of events involving a beneficiary who is the alleged victim or perpetrator of a suspected criminal offense. • Accident/Incident with injury: notification within twelve (12) hours. • Accident/Incident without injury: notification within twenty-four (24) hours 	\$1,000.00 per incident not reported within prescribed timeframe.



Appendix F Liquidated Damages

	<ul style="list-style-type: none"> Within one (1) working day of any incident that was referred to the Medicaid Fraud Control Unit by the selected vendor or Transportation Provider. 	
Failure to Act and/or Patterns of Concern 3.5 3.6	<p>Vendor must take remedial action against Transportation Provider or driver in response to driver misconduct that constitutes an alleged criminal offense or a deviation of policy that is likely to have put a beneficiary at risk.</p> <p>Vendor must address repeated driver misconduct related to a reportable incident or accident or repeated violation of policy.</p>	\$2,500.00 per occurrence
Provider Timeliness 3.6.1.5.1 3.6.1.5.2	<p>100% of trips requested within the agreed upon advance notice requirement shall be assigned to a transportation provider and completed.</p> <p>Member scheduled rides for all services are delivered within 15 minutes of the scheduled pick-up time. The Department will not apply this sanction if the occurrence at issue is attributed to unanticipated weather conditions, a natural disaster, or other forces beyond the Selected Vendor's control.</p>	<p>\$10.00 per occurrence where trip is not filled.</p> <p>\$10.00 per occurrence where member is not picked up within the prescribed timeframes.</p>
Driver Code of Conduct & Driver Requirements 3.6.3	Vendor will ensure Transportation Providers and drivers comply with the Driver Code of Conduct, pre-employment screening, annual employment	Up to \$1,000.00 per occurrence where a requirement went unmet.



Appendix F Liquidated Damages

3.6.4 3.6.5	screening, driver requirements, and all education requirements.	
Record Maintenance and Fraud Prevention 3.6 3.11	Vendor must maintain vehicle and driver records as required by contract.	\$500.00 per missing record.
Surveys 3.4	Vendor will maintain 90% or greater beneficiary satisfaction rate at the conclusion of each survey.	\$500.00 per occasion standard not met.
Grievance 3.4	Failure to comply with selected vendor's approved grievance process.	\$50.00 per grievance not handled pursuant to selected vendor's grievance process.